

PREA Facility Audit Report: Final

Name of Facility: Bertie Correctional Institution

Facility Type: Prison / Jail

Date Interim Report Submitted: 07/04/2025

Date Final Report Submitted: 09/28/2025

Auditor Certification

The contents of this report are accurate to the best of my knowledge.



No conflict of interest exists with respect to my ability to conduct an audit of the agency under review.



I have not included in the final report any personally identifiable information (PII) about any inmate/resident/detainee or staff member, except where the names of administrative personnel are specifically requested in the report template.



Auditor Full Name as Signed: Karen d. Murray

Date of Signature: 09/28/2025

AUDITOR INFORMATION

Auditor name: Murray, Karen

Email: kdmconsults1@gmail.com

Start Date of On-Site Audit: 06/02/2025

End Date of On-Site Audit: 06/03/2025

FACILITY INFORMATION

Facility name: Bertie Correctional Institution

Facility physical address: 218 Cooper Hill Road, Windsor, North Carolina - 27983

Facility mailing address:

Primary Contact

Name:	Cory Hunt
Email Address:	Cory..Hunt@dac.nc.gov
Telephone Number:	252 509 0361

Warden/Jail Administrator/Sheriff/Director

Name:	David Millis
Email Address:	David.Millis@Dac.nc.gov
Telephone Number:	252 509 0158

Facility PREA Compliance Manager

Name:	Cory Hunt
Email Address:	cory.hunt@dac.nc.gov
Telephone Number:	2525090164
Name:	Michael Deloatch
Email Address:	michael.deloatch@dac.nc.gov
Telephone Number:	(252) 509-0290

Facility Health Service Administrator On-site

Name:	Patricia Pierre
Email Address:	Patricia.Pierre@dac.nc.gov
Telephone Number:	252 509 0158

Facility Characteristics

Designed facility capacity:	1504
Current population of facility:	805
Average daily population for the past 12 months:	1241

Has the facility been over capacity at any point in the past 12 months?	No
What is the facility's population designation?	Men/boys
In the past 12 months, which population(s) has the facility held? Select all that apply (Nonbinary describes a person who does not identify exclusively as a boy/man or a girl/woman. Some people also use this term to describe their gender expression. For definitions of "intersex" and "transgender," please see https://www.prearesourcecenter.org/standard/115-5)	
Age range of population:	Only age 21 and over
Facility security levels/inmate custody levels:	Close/Medium
Does the facility hold youthful inmates?	No
Number of staff currently employed at the facility who may have contact with inmates:	393
Number of individual contractors who have contact with inmates, currently authorized to enter the facility:	28
Number of volunteers who have contact with inmates, currently authorized to enter the facility:	28

AGENCY INFORMATION	
Name of agency:	North Carolina Department of Adult Correction
Governing authority or parent agency (if applicable):	
Physical Address:	214 West Jones Street , Raleigh , North Carolina - 27603
Mailing Address:	

Telephone number:	9198252739
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Agency Chief Executive Officer Information:	
Name:	
Email Address:	
Telephone Number:	

Agency-Wide PREA Coordinator Information			
Name:	Charlotte Jordan-Williams	Email Address:	charlotte.williams@dac.nc.gov

Facility AUDIT FINDINGS	
Summary of Audit Findings	
The OAS automatically populates the number and list of Standards exceeded, the number of Standards met, and the number and list of Standards not met. Auditor Note: In general, no standards should be found to be "Not Applicable" or "NA." A compliance determination must be made for each standard. In rare instances where an auditor determines that a standard is not applicable, the auditor should select "Meets Standard" and include a comprehensive discussion as to why the standard is not applicable to the facility being audited.	
Number of standards exceeded:	
3	• 115.16 - Inmates with disabilities and inmates who are limited English proficient • 115.31 - Employee training • 115.83 - Ongoing medical and mental health care for sexual abuse victims and abusers
Number of standards met:	
42	

Number of standards not met:	
0	

POST-AUDIT REPORTING INFORMATION

Please note: Question numbers may not appear sequentially as some questions are omitted from the report and used solely for internal reporting purposes.

GENERAL AUDIT INFORMATION

On-site Audit Dates

1. Start date of the onsite portion of the audit:	2025-06-02
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2. End date of the onsite portion of the audit:	2025-06-03
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Outreach

10. Did you attempt to communicate with community-based organization(s) or victim advocates who provide services to this facility and/or who may have insight into relevant conditions in the facility?	☒ Yes ☐ No
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a. Identify the community-based organization(s) or victim advocates with whom you communicated:	Agency third party: Waste, Fraud and Abuse Offender external hotline reporting
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AUDITED FACILITY INFORMATION

14. Designated facility capacity:	1500
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15. Average daily population for the past 12 months:	850
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16. Number of inmate/resident/detainee housing units:	6
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17. Does the facility ever hold youthful inmates or youthful/juvenile detainees?	☐ Yes ☒ No ☐ Not Applicable for the facility type audited (i.e., Community Confinement Facility or Juvenile Facility)
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Audited Facility Population Characteristics on Day One of the Onsite Portion of the Audit

Inmates/Residents/Detainees Population Characteristics on Day One of the Onsite Portion of the Audit

23. Enter the total number of inmates/residents/detainees in the facility as of the first day of onsite portion of the audit:	819
25. Enter the total number of inmates/residents/detainees with a physical disability in the facility as of the first day of the onsite portion of the audit:	0
26. Enter the total number of inmates/residents/detainees with a cognitive or functional disability (including intellectual disability, psychiatric disability, or speech disability) in the facility as of the first day of the onsite portion of the audit:	1
27. Enter the total number of inmates/residents/detainees who are Blind or have low vision (visually impaired) in the facility as of the first day of the onsite portion of the audit:	0
28. Enter the total number of inmates/residents/detainees who are Deaf or hard-of-hearing in the facility as of the first day of the onsite portion of the audit:	1
29. Enter the total number of inmates/residents/detainees who are Limited English Proficient (LEP) in the facility as of the first day of the onsite portion of the audit:	59
30. Enter the total number of inmates/residents/detainees who identify as lesbian, gay, or bisexual in the facility as of the first day of the onsite portion of the audit:	6

31. Enter the total number of inmates/residents/detainees who identify as transgender or intersex in the facility as of the first day of the onsite portion of the audit:	3
32. Enter the total number of inmates/residents/detainees who reported sexual abuse in the facility as of the first day of the onsite portion of the audit:	0
33. Enter the total number of inmates/residents/detainees who disclosed prior sexual victimization during risk screening in the facility as of the first day of the onsite portion of the audit:	7
34. Enter the total number of inmates/residents/detainees who were ever placed in segregated housing/isolation for risk of sexual victimization in the facility as of the first day of the onsite portion of the audit:	0
35. Provide any additional comments regarding the population characteristics of inmates/residents/detainees in the facility as of the first day of the onsite portion of the audit (e.g., groups not tracked, issues with identifying certain populations):	No text provided.
Staff, Volunteers, and Contractors Population Characteristics on Day One of the Onsite Portion of the Audit	
36. Enter the total number of STAFF, including both full- and part-time staff, employed by the facility as of the first day of the onsite portion of the audit:	393
37. Enter the total number of VOLUNTEERS assigned to the facility as of the first day of the onsite portion of the audit who have contact with inmates/residents/detainees:	28

38. Enter the total number of CONTRACTORS assigned to the facility as of the first day of the onsite portion of the audit who have contact with inmates/residents/detainees:	28
39. Provide any additional comments regarding the population characteristics of staff, volunteers, and contractors who were in the facility as of the first day of the onsite portion of the audit:	No text provided.
INTERVIEWS	
Inmate/Resident/Detainee Interviews	
Random Inmate/Resident/Detainee Interviews	
40. Enter the total number of RANDOM INMATES/RESIDENTS/DETAINEES who were interviewed:	15
41. Select which characteristics you considered when you selected RANDOM INMATE/RESIDENT/DETAINEE interviewees: (select all that apply)	☐ Age ☐ Race ☐ Ethnicity (e.g., Hispanic, Non-Hispanic) ☐ Length of time in the facility ☒ Housing assignment ☐ Gender ☐ Other ☐ None
42. How did you ensure your sample of RANDOM INMATE/RESIDENT/DETAINEE interviewees was geographically diverse?	On the first day of the onsite review, the facility provided offender rosters organized by targeted categories and housing unit. After the Auditor identified the targeted offenders, additional random selections were made to ensure representation from each housing unit.

43. Were you able to conduct the minimum number of random inmate/resident/detainee interviews?	☒ Yes ☐ No
44. Provide any additional comments regarding selecting or interviewing random inmates/residents/detainees (e.g., any populations you oversampled, barriers to completing interviews, barriers to ensuring representation):	No text provided.
Targeted Inmate/Resident/Detainee Interviews	
45. Enter the total number of TARGETED INMATES/RESIDENTS/DETAINEES who were interviewed:	15
As stated in the PREA Auditor Handbook, the breakdown of targeted interviews is intended to guide auditors in interviewing the appropriate cross-section of inmates/residents/detainees who are the most vulnerable to sexual abuse and sexual harassment. When completing questions regarding targeted inmate/resident/detainee interviews below, remember that an interview with one inmate/resident/detainee may satisfy multiple targeted interview requirements. These questions are asking about the number of interviews conducted using the targeted inmate/resident/detainee protocols. For example, if an auditor interviews an inmate who has a physical disability, is being held in segregated housing due to risk of sexual victimization, and disclosed prior sexual victimization, that interview would be included in the totals for each of those questions. Therefore, in most cases, the sum of all the following responses to the targeted inmate/resident/detainee interview categories will exceed the total number of targeted inmates/residents/detainees who were interviewed. If a particular targeted population is not applicable in the audited facility, enter "0".	
47. Enter the total number of interviews conducted with inmates/residents/detainees with a physical disability using the "Disabled and Limited English Proficient Inmates" protocol:	0
a. Select why you were unable to conduct at least the minimum required number of targeted inmates/residents/detainees in this category:	☒ Facility said there were "none here" during the onsite portion of the audit and/or the facility was unable to provide a list of these inmates/residents/detainees. ☐ The inmates/residents/detainees in this targeted category declined to be interviewed.

b. Discuss your corroboration strategies to determine if this population exists in the audited facility (e.g., based on information obtained from the PAQ; documentation reviewed onsite; and discussions with staff and other inmates/residents/detainees).	Following the review of resident rosters and specialized interviews, it was determined that this category of resident was not present at the facility during the onsite review.
48. Enter the total number of interviews conducted with inmates/residents/detainees with a cognitive or functional disability (including intellectual disability, psychiatric disability, or speech disability) using the "Disabled and Limited English Proficient Inmates" protocol:	1
49. Enter the total number of interviews conducted with inmates/residents/detainees who are Blind or have low vision (i.e., visually impaired) using the "Disabled and Limited English Proficient Inmates" protocol:	0
a. Select why you were unable to conduct at least the minimum required number of targeted inmates/residents/detainees in this category:	☒ Facility said there were "none here" during the onsite portion of the audit and/or the facility was unable to provide a list of these inmates/residents/detainees. ☐ The inmates/residents/detainees in this targeted category declined to be interviewed.
b. Discuss your corroboration strategies to determine if this population exists in the audited facility (e.g., based on information obtained from the PAQ; documentation reviewed onsite; and discussions with staff and other inmates/residents/detainees).	Following the review of resident rosters and specialized interviews, it was determined that this category of resident was not present at the facility during the onsite review.
50. Enter the total number of interviews conducted with inmates/residents/detainees who are Deaf or hard-of-hearing using the "Disabled and Limited English Proficient Inmates" protocol:	1

51. Enter the total number of interviews conducted with inmates/residents/detainees who are Limited English Proficient (LEP) using the "Disabled and Limited English Proficient Inmates" protocol:	2
52. Enter the total number of interviews conducted with inmates/residents/detainees who identify as lesbian, gay, or bisexual using the "Transgender and Intersex Inmates; Gay, Lesbian, and Bisexual Inmates" protocol:	4
53. Enter the total number of interviews conducted with inmates/residents/detainees who identify as transgender or intersex using the "Transgender and Intersex Inmates; Gay, Lesbian, and Bisexual Inmates" protocol:	3
54. Enter the total number of interviews conducted with inmates/residents/detainees who reported sexual abuse in this facility using the "Inmates who Reported a Sexual Abuse" protocol:	1
55. Enter the total number of interviews conducted with inmates/residents/detainees who disclosed prior sexual victimization during risk screening using the "Inmates who Disclosed Sexual Victimization during Risk Screening" protocol:	7
56. Enter the total number of interviews conducted with inmates/residents/detainees who are or were ever placed in segregated housing/isolation for risk of sexual victimization using the "Inmates Placed in Segregated Housing (for Risk of Sexual Victimization/Who Allege to have Suffered Sexual Abuse)" protocol:	0

a. Select why you were unable to conduct at least the minimum required number of targeted inmates/residents/detainees in this category:	☒ Facility said there were "none here" during the onsite portion of the audit and/or the facility was unable to provide a list of these inmates/residents/detainees. ☐ The inmates/residents/detainees in this targeted category declined to be interviewed.
b. Discuss your corroboration strategies to determine if this population exists in the audited facility (e.g., based on information obtained from the PAQ; documentation reviewed onsite; and discussions with staff and other inmates/residents/detainees).	The facility does not utilize segregated housing for vulnerable populations.
57. Provide any additional comments regarding selecting or interviewing targeted inmates/residents/detainees (e.g., any populations you oversampled, barriers to completing interviews):	No text provided.
Staff, Volunteer, and Contractor Interviews	
Random Staff Interviews	
58. Enter the total number of RANDOM STAFF who were interviewed:	12
59. Select which characteristics you considered when you selected RANDOM STAFF interviewees: (select all that apply)	☐ Length of tenure in the facility ☒ Shift assignment ☒ Work assignment ☒ Rank (or equivalent) ☐ Other (e.g., gender, race, ethnicity, languages spoken) ☐ None
60. Were you able to conduct the minimum number of RANDOM STAFF interviews?	☒ Yes ☐ No

61. Provide any additional comments regarding selecting or interviewing random staff (e.g., any populations you oversampled, barriers to completing interviews, barriers to ensuring representation):	The facility provided correctional officer rosters for both shifts during the onsite review. Staff were then selected from each shift to ensure balanced representation.
Specialized Staff, Volunteers, and Contractor Interviews	
Staff in some facilities may be responsible for more than one of the specialized staff duties. Therefore, more than one interview protocol may apply to an interview with a single staff member and that information would satisfy multiple specialized staff interview requirements.	
62. Enter the total number of staff in a SPECIALIZED STAFF role who were interviewed (excluding volunteers and contractors):	10
63. Were you able to interview the Agency Head?	☒ Yes ☐ No
64. Were you able to interview the Warden/Facility Director/Superintendent or their designee?	☒ Yes ☐ No
65. Were you able to interview the PREA Coordinator?	☒ Yes ☐ No
66. Were you able to interview the PREA Compliance Manager?	☒ Yes ☐ No ☐ NA (NA if the agency is a single facility agency or is otherwise not required to have a PREA Compliance Manager per the Standards)

67. Select which SPECIALIZED STAFF roles were interviewed as part of this audit from the list below: (select all that apply)

- ☒ Agency contract administrator
- ☒ Intermediate or higher-level facility staff responsible for conducting and documenting unannounced rounds to identify and deter staff sexual abuse and sexual harassment
- ☐ Line staff who supervise youthful inmates (if applicable)
- ☐ Education and program staff who work with youthful inmates (if applicable)
- ☒ Medical staff
- ☐ Mental health staff
- ☐ Non-medical staff involved in cross-gender strip or visual searches
- ☒ Administrative (human resources) staff
- ☐ Sexual Assault Forensic Examiner (SAFE) or Sexual Assault Nurse Examiner (SANE) staff
- ☒ Investigative staff responsible for conducting administrative investigations
- ☐ Investigative staff responsible for conducting criminal investigations
- ☒ Staff who perform screening for risk of victimization and abusiveness
- ☒ Staff who supervise inmates in segregated housing/residents in isolation
- ☒ Staff on the sexual abuse incident review team
- ☒ Designated staff member charged with monitoring retaliation
- ☒ First responders, both security and non-security staff
- ☒ Intake staff

	☐ Other
68. Did you interview VOLUNTEERS who may have contact with inmates/residents/detainees in this facility?	☒ Yes ☐ No
a. Enter the total number of VOLUNTEERS who were interviewed:	2
b. Select which specialized VOLUNTEER role(s) were interviewed as part of this audit from the list below: (select all that apply)	☐ Education/programming ☐ Medical/dental ☐ Mental health/counseling ☒ Religious ☐ Other
69. Did you interview CONTRACTORS who may have contact with inmates/residents/detainees in this facility?	☒ Yes ☐ No
a. Enter the total number of CONTRACTORS who were interviewed:	2
b. Select which specialized CONTRACTOR role(s) were interviewed as part of this audit from the list below: (select all that apply)	☐ Security/detention ☐ Education/programming ☒ Medical/dental ☐ Food service ☐ Maintenance/construction ☐ Other
70. Provide any additional comments regarding selecting or interviewing specialized staff.	No text provided.

SITE REVIEW AND DOCUMENTATION SAMPLING

Site Review

PREA Standard 115.401 (h) states, "The auditor shall have access to, and shall observe, all areas of the audited facilities." In order to meet the requirements in this Standard, the site review portion of the onsite audit must include a thorough examination of the entire facility. The site review is not a casual tour of the facility. It is an active, inquiring process that includes talking with staff and inmates to determine whether, and the extent to which, the audited facility's practices demonstrate compliance with the Standards. Note: As you are conducting the site review, you must document your tests of critical functions, important information gathered through observations, and any issues identified with facility practices. The information you collect through the site review is a crucial part of the evidence you will analyze as part of your compliance determinations and will be needed to complete your audit report, including the Post-Audit Reporting Information.

71. Did you have access to all areas of the facility?

☒ Yes

☐ No

Was the site review an active, inquiring process that included the following:

72. Observations of all facility practices in accordance with the site review component of the audit instrument (e.g., signage, supervision practices, cross-gender viewing and searches)?

☒ Yes

☐ No

73. Tests of all critical functions in the facility in accordance with the site review component of the audit instrument (e.g., risk screening process, access to outside emotional support services, interpretation services)?

☒ Yes

☐ No

74. Informal conversations with inmates/residents/detainees during the site review (encouraged, not required)?

☒ Yes

☐ No

75. Informal conversations with staff during the site review (encouraged, not required)?

☒ Yes

☐ No

76. Provide any additional comments regarding the site review (e.g., access to areas in the facility, observations, tests of critical functions, or informal conversations).	No text provided.
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Documentation Sampling

Where there is a collection of records to review-such as staff, contractor, and volunteer training records; background check records; supervisory rounds logs; risk screening and intake processing records; inmate education records; medical files; and investigative files-auditors must self-select for review a representative sample of each type of record.

77. In addition to the proof documentation selected by the agency or facility and provided to you, did you also conduct an auditor-selected sampling of documentation?	☒ Yes ☐ No
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78. Provide any additional comments regarding selecting additional documentation (e.g., any documentation you oversampled, barriers to selecting additional documentation, etc.).	No text provided.
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SEXUAL ABUSE AND SEXUAL HARASSMENT ALLEGATIONS AND INVESTIGATIONS IN THIS FACILITY

Sexual Abuse and Sexual Harassment Allegations and Investigations Overview

Remember the number of allegations should be based on a review of all sources of allegations (e.g., hotline, third-party, grievances) and should not be based solely on the number of investigations conducted. Note: For question brevity, we use the term “inmate” in the following questions. Auditors should provide information on inmate, resident, or detainee sexual abuse allegations and investigations, as applicable to the facility type being audited.

79. Total number of SEXUAL ABUSE allegations and investigations overview during the 12 months preceding the audit, by incident type:

	# of sexual abuse allegations	# of criminal investigations	# of administrative investigations	# of allegations that had both criminal and administrative investigations
Inmate-on-inmate sexual abuse	2	0	2	0
Staff-on-inmate sexual abuse	0	0	0	0
Total	2	0	2	0

80. Total number of SEXUAL HARASSMENT allegations and investigations overview during the 12 months preceding the audit, by incident type:

	# of sexual harassment allegations	# of criminal investigations	# of administrative investigations	# of allegations that had both criminal and administrative investigations
Inmate-on-inmate sexual harassment	12	0	12	0
Staff-on-inmate sexual harassment	0	0	0	0
Total	12	0	12	0

Sexual Abuse and Sexual Harassment Investigation Outcomes

Sexual Abuse Investigation Outcomes

Note: these counts should reflect where the investigation is currently (i.e., if a criminal investigation was referred for prosecution and resulted in a conviction, that investigation outcome should only appear in the count for “convicted.”) Do not double count. Additionally, for question brevity, we use the term “inmate” in the following questions. Auditors should provide information on inmate, resident, and detainee sexual abuse investigation files, as applicable to the facility type being audited.

81. Criminal SEXUAL ABUSE investigation outcomes during the 12 months preceding the audit:

	Ongoing	Referred for Prosecution	Indicted/ Court Case Filed	Convicted/ Adjudicated	Acquitted
Inmate-on-inmate sexual abuse	0	0	0	0	0
Staff-on-inmate sexual abuse	0	0	0	0	0
Total	0	0	0	0	0

82. Administrative SEXUAL ABUSE investigation outcomes during the 12 months preceding the audit:

	Ongoing	Unfounded	Unsubstantiated	Substantiated
Inmate-on-inmate sexual abuse	1	0	2	0
Staff-on-inmate sexual abuse	0	0	0	0
Total	1	0	2	0

Sexual Harassment Investigation Outcomes

Note: these counts should reflect where the investigation is currently. Do not double count. Additionally, for question brevity, we use the term “inmate” in the following questions. Auditors should provide information on inmate, resident, and detainee sexual harassment investigation files, as applicable to the facility type being audited.

83. Criminal SEXUAL HARASSMENT investigation outcomes during the 12 months preceding the audit:

	Ongoing	Referred for Prosecution	Indicted/ Court Case Filed	Convicted/ Adjudicated	Acquitted
Inmate-on-inmate sexual harassment	0	0	0	0	0
Staff-on-inmate sexual harassment	0	0	0	0	0
Total	0	0	0	0	0

84. Administrative SEXUAL HARASSMENT investigation outcomes during the 12 months preceding the audit:

	Ongoing	Unfounded	Unsubstantiated	Substantiated
Inmate-on-inmate sexual harassment	0	0	11	1
Staff-on-inmate sexual harassment	0	0	0	0
Total	0	0	11	1

Sexual Abuse and Sexual Harassment Investigation Files Selected for Review

Sexual Abuse Investigation Files Selected for Review

85. Enter the total number of SEXUAL ABUSE investigation files reviewed/ sampled:

3

86. Did your selection of SEXUAL ABUSE investigation files include a cross-section of criminal and/or administrative investigations by findings/outcomes?	☐ Yes ☒ No ☐ NA (NA if you were unable to review any sexual abuse investigation files)
Inmate-on-inmate sexual abuse investigation files	
87. Enter the total number of INMATE-ON-INMATE SEXUAL ABUSE investigation files reviewed/sampled:	3
88. Did your sample of INMATE-ON-INMATE SEXUAL ABUSE investigation files include criminal investigations?	☐ Yes ☒ No ☐ NA (NA if you were unable to review any inmate-on-inmate sexual abuse investigation files)
89. Did your sample of INMATE-ON-INMATE SEXUAL ABUSE investigation files include administrative investigations?	☒ Yes ☐ No ☐ NA (NA if you were unable to review any inmate-on-inmate sexual abuse investigation files)
Staff-on-inmate sexual abuse investigation files	
90. Enter the total number of STAFF-ON-INMATE SEXUAL ABUSE investigation files reviewed/sampled:	0
91. Did your sample of STAFF-ON-INMATE SEXUAL ABUSE investigation files include criminal investigations?	☐ Yes ☒ No ☐ NA (NA if you were unable to review any staff-on-inmate sexual abuse investigation files)

92. Did your sample of STAFF-ON-INMATE SEXUAL ABUSE investigation files include administrative investigations?	☐ Yes ☒ No ☐ NA (NA if you were unable to review any staff-on-inmate sexual abuse investigation files)
Sexual Harassment Investigation Files Selected for Review	
93. Enter the total number of SEXUAL HARASSMENT investigation files reviewed/sampled:	8
94. Did your selection of SEXUAL HARASSMENT investigation files include a cross-section of criminal and/or administrative investigations by findings/outcomes?	☐ Yes ☒ No ☐ NA (NA if you were unable to review any sexual harassment investigation files)
Inmate-on-inmate sexual harassment investigation files	
95. Enter the total number of INMATE-ON-INMATE SEXUAL HARASSMENT investigation files reviewed/sampled:	8
96. Did your sample of INMATE-ON-INMATE SEXUAL HARASSMENT files include criminal investigations?	☐ Yes ☒ No ☐ NA (NA if you were unable to review any inmate-on-inmate sexual harassment investigation files)
97. Did your sample of INMATE-ON-INMATE SEXUAL HARASSMENT investigation files include administrative investigations?	☒ Yes ☐ No ☐ NA (NA if you were unable to review any inmate-on-inmate sexual harassment investigation files)

Staff-on-inmate sexual harassment investigation files

98. Enter the total number of STAFF-ON-INMATE SEXUAL HARASSMENT investigation files reviewed/sampled:

0

99. Did your sample of STAFF-ON-INMATE SEXUAL HARASSMENT investigation files include criminal investigations?

☐ Yes

☒ No

☐ NA (NA if you were unable to review any staff-on-inmate sexual harassment investigation files)

100. Did your sample of STAFF-ON-INMATE SEXUAL HARASSMENT investigation files include administrative investigations?

☐ Yes

☒ No

☐ NA (NA if you were unable to review any staff-on-inmate sexual harassment investigation files)

101. Provide any additional comments regarding selecting and reviewing sexual abuse and sexual harassment investigation files.

No text provided.

SUPPORT STAFF INFORMATION**DOJ-certified PREA Auditors Support Staff**

102. Did you receive assistance from any DOJ-CERTIFIED PREA AUDITORS at any point during this audit? REMEMBER: the audit includes all activities from the pre-onsite through the post-onsite phases to the submission of the final report. Make sure you respond accordingly.

☐ Yes

☒ No

Non-certified Support Staff

103. Did you receive assistance from any NON-CERTIFIED SUPPORT STAFF at any point during this audit? REMEMBER: the audit includes all activities from the pre-onsite through the post-onsite phases to the submission of the final report. Make sure you respond accordingly.

☐ Yes

☒ No

AUDITING ARRANGEMENTS AND COMPENSATION

108. Who paid you to conduct this audit?

☒ The audited facility or its parent agency

☐ My state/territory or county government employer (if you audit as part of a consortium or circular auditing arrangement, select this option)

☐ A third-party auditing entity (e.g., accreditation body, consulting firm)

☐ Other

Standards	
Auditor Overall Determination Definitions	
- Exceeds Standard (Substantially exceeds requirement of standard) - Meets Standard (substantial compliance; complies in all material ways with the stand for the relevant review period) - Does Not Meet Standard (requires corrective actions)	
Auditor Discussion Instructions	
Auditor discussion, including 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 standard. These recommendations must be included in the Final Report, accompanied by information on specific corrective actions taken by the facility.	

115.11	Zero tolerance of sexual abuse and sexual harassment; PREA coordinator
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: - Bertie Correctional Institution PAQ - NCDAC Division of Prisons Policy and Procedure: Chapter F. 3400, dated 6.9.2022 - NC Department of Adult Correction Organization Chart, dated 3.3.2025 - Bertie Correctional Institution #4880 Organizational Chart, dated 8.28.2024 Interviews: - Random Offenders - Targeted Offenders

3. Correctional Officers
4. Program Personnel
5. Administrative Personnel
6. Facility Compliance Specialist / PREA Compliance Manager
7. PREA Coordinator
8. Associate Warden

Through 30 formal and six informal interviews with offenders, 12 formal and one informal interview with random staff, 12 specialized staff interviews, two interviews with volunteers and two interviews with contract personnel, review of offender and personnel files, review of facility and agency practices and a facility tour, it is evident that this facility interweaves requirements of PREA throughout the programmatic day. Both offenders and staff could speak to facility PREA practices and protocols being used as is described in the agency PREA policies.

Formal interviews with offenders demonstrated 30 of 30 interviews resulted in offenders stating they feel sexually safe in the facility and searches are conducted respectfully by staff members.

Interviews with offenders resulted in the following unsolicited positive comments.

- PREA is something they jump on when you ask
- They do not play about that stuff
- Every camp I go to they tell us about PREA
- They do a pretty good job; they want everyone to be safe
- They did a good job making sure I was aware of PREA
- Case Manager doing a good job making sure we get our paperwork on time
- (Restricted Housing Offender) Just ask to use the phone for emergency calls and we can use the Unit Manager phone
- Never had a problem since I've been down
- 16 years straight and I've never needed to report

Interviews with staff resulted in the following unsolicited positive comments.

- We do investigations all the same, all are serious, all are thorough, all are important
- We are fair, firm and consistent with all offenders

The interview with the PREA Compliance Manager demonstrated he has enough time to do his PREA related duties. The PREA Compliance Manager stated he reviews systems for compliance by scheduling a lot of meetings, checking uploads, checking regional comments, and advanced planning.

The interview with the PREA Coordinator demonstrated oversight of PREA Compliance Managers is conducted through informational emails, scheduled meetings, informational memorandums, FAQ updates, mock audits, and onsite visits from PREA and Regional personnel.

Site Observation:

During the tour of the facility, PREA Audit Notices and standardized PREA bulletin boards with information regarding the agency zero tolerance policy, reporting information, offender rights and advocate contact information was observed in offender housing units, classrooms, administrative and program areas, in both English and Spanish.

(a) The Bertie Correctional Institution PAQ states the agency Safe Prisons/PREA Plan mandates zero-tolerance toward all forms of sexual abuse and sexual harassment in the facility it operates and those directly under contract.

NCDAC Division of Prisons Policy and Procedure: Chapter F. 3400, page 5-6, section Policy, states, "NCDAC is committed to a standard of zero-tolerance of sexual abuse and sexual harassment toward offenders, either by staff, contractors, volunteers, or by offenders (5-ACI-3D-14). Therefore, it is the policy of DOP to provide a safe, humane, and appropriately secure environment, free from the threat of sexual abuse and sexual harassment for all offenders, by maintaining a program of prevention, detection, response, investigation, prosecution, and tracking (5-ACI-3D-08)."

(b) The Bertie Correctional Institution PAQ states the agency employs or designates an upper-level, agency-wide PREA Coordinator. The position of the PREA Coordinator in the agency's organizational structure is the PREA Director.

	The facility provided an NC Department of Adult Correction Organization Chart. The organization chart demonstrates the PREA Director is in the agency organizational chart and reports directly to the Deputy Secretary. (c) The Bertie Correctional Institution PAQ states the facility has designated a PREA Compliance manager. The PREA Compliance Manager has sufficient time and authority to coordinate the facility's efforts to comply with the PREA standards. The facility provided a Bertie Correctional Institution organizational chart demonstrating the Facility Compliance Specialist reports directly to the Facility Warden. Through such reviews, the facility meets the standard requirements.
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115.12	Contracting with other entities for the confinement of inmates
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. Memorandum of Agreement, Center for Community Transitions, dated 7.5.2023 Interviews: 1. PREA Director / Head of Agency During the pre-audit phase, the PREA Director conveyed the agency did have one privatized contract. Such contracts do contain language mandating each private provider complies with PREA standards. In addition, the PREA Director stated throughout the contract she visits the facility, checks in with the Program and Regional Director, allows the facility to utilize North Carolina Department of Adult Services policy, speaks with staff and offenders, and includes the entity in training exercises.

	(a-b) The Bertie Correctional Institution PAQ states the agency does contract with one private agency for confinement services of their inmates. The facility provided a Memorandum of Agreement between the State of North Carolina and the Center for Community Transitions. Page 10, section PREA, contains language demonstrating the facility is required to comply with the Prison Rape Elimination Standards. Through such reviews, the facility meets the standard requirements.
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115.13	Supervision and monitoring
	Auditor Overall Determination: Meets Standard
	Auditor Discussion Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC PREA Prevention Planning, Policy DAC-PREA-100, dated 1.1.2023 3. NCDAC Bertie Correctional Institution Staffing Analysis, dated 8.12.2024 4. NCDAC Bertie Correctional Institution Staffing Analysis dated 8.2023 5. Daily Shift Narratives Interviews: 1. Captain / Rounds 2. PREA Coordinator 3. Associate Warden The interview with Captain demonstrated she completes documented unannounced rounds throughout the facility at once per shift, documenting those rounds in red ink when she enters and leaves the housing unit or by communicating with Control to log rounds. The interview with the PREA Coordinator demonstrated meetings are held throughout

the year to gather investigation information from each facility for the annual staffing plan.

The interview with the Associate Warden demonstrated the facility reviews assigned schedules daily to meet critical minimums; if minimums cannot be met call back rosters, staff are called in or staff or held over until posts can be covered. The Associate Warden was aware of the staffing plan analysis components and could speak to additional cameras not be added for the past few years, no findings from internal or external audits since September 2024, composition changes with intakes, the mission can change depending on offender demographics, staffing is based on need and Sergeants and above are always on each shift and the facility has plenty of programs and education options.

Site Observation:

During the tour unannounced rounds were reviewed in each dorm and or building toured. Unannounced rounds were observed to be documented in red by Sergeants once or twice per shift at least six of seven days per week.

(a) The Bertie Correctional Institution PAQ states the agency requires the facility to develop, document and make its best efforts to comply on a regular basis with a staffing plan that provides for adequate levels of staffing, and, where applicable, video monitoring, to protect inmates against abuse. Since August 20, 2012, or the last PREA audit, whichever is later, the average daily number of inmates is 963. The average daily number of inmates on which the staffing plan was predicted is 963.

The facility provided an NCDAC Bertie Correctional Institution Staffing Analysis. The analyses demonstrates the following plan and review areas:

NCDAC PREA Report: Staffing Analysis

- Agency Information
- Mission
- Vision
- Core Values - PRIDE
- General Facility Information
- Offender Population and Special Vulnerabilities

- Facility Program and Services
- Staffing
- Operational Areas
- History of Potentially Violent Infractions
- PREA
- Prevalence of Substantiated and Unsubstantiated Incidents of Sexual Abuse and Harassment
- Previous Audit Findings
- Recommendations and Considerations
- Conclusion

The staffing analysis is signed by the PREA Director and the facility Warden.

(b) The Bertie Correctional Institution PAQ states each time the staffing plan is not complied with, the facility documents and justifies deviations.

(c) The Bertie Correctional Institution PAQ states at least once every year the facility/agency, in collaboration with the PREA coordinator, reviews the staffing plan to whether adjustments are needed in (a) the staffing, (b) the deployment of monitoring technology, or (c) the allocation of agency/facility resources to commit to the staffing plan to ensure compliance with the staffing plan. The facility completes a staffing plan annually to ensure continued compliance and provided a Staffing Plan Analysis for 2023 and 2024.

(d) The Bertie Correctional Institution PAQ states the facility requires that intermediate level or higher-level staff conduct unannounced rounds to identify and deter staff sexual abuse and sexual harassment.

NCDAC PREA Prevention Planning, Policy DAC-PREA-100, page 8, section 5. I, states, "Each facility shall implement a policy and practice of having intermediate-level or higher-level supervisors conduct and document unannounced rounds to identify and deter employee sexual abuse and sexual harassment. Such policy and practice shall:

1. Be implemented for night shifts as well as day shifts; and
2. Prohibit employees from alerting one another that supervisory rounds are

	occurring, unless such announcement is related to the legitimate operational functions of the facility.” The facility provided Daily Shift Narratives demonstrating facility Sergeants complete unannounced rounds, in all areas of the facility, at different times, during day and evening shifts. Through such reviews, the facility meets the standard requirements.
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115.14	Youthful inmates
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ Interviews: 1. Facility Compliance Specialist / PREA Compliance Manager Interviews with the PREA Compliance Manager demonstrated youthful inmates are not housed at this facility. Site Observation: The facility tour, formal and informal interviews with the PREA Compliance Manager demonstrated that youthful inmates were not housed at the facility. (a) The Bertie Correctional Institution PAQ states the facility does not house youthful offenders. Through such reviews, the facility meets the standard requirements.

115.15	Limits to cross-gender viewing and searches
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	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC PREA Prevention Planning, Policy Number: DAC-PREA-100, dated 1.1.2023 3. NCDAC Cross-Gender Viewing, Announcement, and Acknowledgment, dated 1.12.2023 Interviews: 1. Random Offenders 2. Targeted Offenders 3. Correctional Officers 4. Facility Compliance Specialist / PREA Compliance Manager Interviews with 30 offenders demonstrated cross gender announcements were made by female correctional officers when each enters a housing unit. 100% of offenders stated searches were completed respectfully by staff. Interviews with male and female correctional officers demonstrated each had been trained in cross gender search protocols and transgender and intersex offenders are searched as prescribed for male offenders unless they had approved accommodations. The interview with the PREA Compliance Manager during the tour demonstrated all searches are completed with at least two staff to enhance staff and offender safety and transgender and intersex offenders attend a Facility Accommodation Review Committee within 72 hours to ensure their search and shower preferences are approved. Site Observation: During the tour a search area was observed to be adjacent to the visitation area where three stalls were observed to be under camera view; however, cameras were blacked out where offenders stand when being searched. A search area was observed in the intake area to be behind a full door in a single cell where there is always one

officer in and one officer outside the cell and multiple staff in the intake area when offenders arrive.

The facility has multiple housing units all equipped with wet cells and showers with either curtains or a full metal door allowing for optimal offender privacy from female staff view when showering and changing.

(a) Bertie Correctional Institution PAQ states the facility does not conduct cross-gender strip or cross-gender visual body cavity searches of their inmates. In the past 12 months there have been zero cross-gender strip or cross-gender visual body cavity searches of offenders.

NCDAC PREA Prevention Planning, Policy Number: DAC-PREA-100, page 8-9, section M. 1-3., state, "Each facility shall limit cross-gender viewing and searches by:

1. Not conducting cross-gender strip searches or cross-gender visual body cavity searches (meaning a search of the anal or genital opening) except in exigent circumstances or when performed by medical practitioners.
2. Restricting cross-gender pat-down searches of female person in confinement residents, and safekeepers absent exigent circumstances. Facilities shall not restrict the access of female person in confinement residents, or safekeepers to regularly available programming or other out-of-cell opportunities in order to comply with this provision.
3. Documenting all cross-gender strip searches and cross-gender visual body cavity searches and documenting all cross-gender pat-down searches of female person in confinement residents, and safekeepers."

(b) Bertie Correctional Institution PAQ states this standard is not applicable as females are not housed at the Bertie Correctional Institution.

(c) Bertie Correctional Institution PAQ states the facility policy requires that all cross-gender strip searches, cross-gender visual body cavity searches, and cross-gender pat-down searches be documented and justified. Policy compliance can be found in provision (a) of this standard.

The facility provided NCDAC Cross-Gender Viewing, Announcement, and Acknowledgment. The acknowledgement states "The NC Department of Adult

Correction is required by the national standards to Prevent, Detect, and Respond to Prison Rape Under the Prison Rape Elimination Act (PREA). In accordance with standards §115.15 and §115.215, the agency must implement limits to cross gender viewing and searches.” Employees confirm attending this training by attesting to the following. “I acknowledge that I have been oriented and understand the limitations to cross-gender viewing and searches under the standards of the Prison Rape Elimination Act of 2003, agency, and division policies.”

(d) Bertie Correctional Institution PAQ states the facility has implemented policies and procedures that enable Inmates 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 viewing is incidental to routine cell checks (this includes viewing via video camera). Policies and procedures require staff of the opposite gender to announce their presence when entering an inmate housing unit.

NCDAC PREA Prevention Planning, Policy Number: DAC-PREA-100, page 9, section 4., states, “Implementing policies and procedures that enable person in confinement residents, and safekeepers to shower, perform bodily functions, and change clothing without nonmedical employees of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks. Such policies and procedures shall require employees of the opposite gender to announce their presence when entering a person in confinement, resident, and safekeeper housing unit.”

(e) The Bertie Correctional Institution PAQ states the facility has a policy prohibiting staff from searching or physically examining a transgender or intersex Inmate for the sole purpose of determining the Inmate’s genital status. Such searches have not occurred in the past 12 months.

NCDAC PREA Prevention Planning, Policy Number: DAC-PREA-100, page 9, section 5, states, “Prohibiting searching or physically examining transgender or intersex person in confinement residents, and safekeepers for the sole purpose of determining their genital status. If the person in confinement, resident, or safekeeper’s genital status is unknown, it may be determined during conversations with them, 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.”

(f) The Bertie Correctional Institution PAQ states 100 security staff have received training on conducting cross-gender pat-down searches and searches of transgender

	and intersex Inmates in a professional and respectful manner consistent with security needs. NCDAC PREA Prevention Planning, Policy Number: DAC-PREA-100, page 9, section 6, states, "Training applicable employees in how to conduct cross-gender pat-down searches, and searches of transgender and intersex person in confinement residents, or safekeepers, in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs." Through such reviews, the facility meets the standard requirements.
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115.16	Inmates with disabilities and inmates who are limited English proficient
	Auditor Overall Determination: Exceeds Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC PREA Prevention Planning, Policy Number: DAC-PREA-100, dated 1.1.2023 3. LRC Language Resource Center (LRC), not dated Interviews: 1. Captain 2. PREA Director / Head of Agency The facility did not have any targeted offenders who were hard of hearing, blind, cognitively delayed or English as a second language. The interview with the Captain demonstrated offenders are educated on PREA the same day each arrives by reading them information on how to report, zero tolerance, their rights. The Captain stated when the Case Manager sees offenders the following day they are educated once again on PREA when they are then asked to sign an acknowledgment of understanding. The Captain stated interpreters are used for LEP offenders, documentation is made available in English and Spanish, and all Case

Managers are ADA trained.

The interview with the PREA Director demonstrated each facility has a Developmentally Delayed Counselor who will ensure facility and or agency resources are used to ensure applicable offenders are educated and can retain their education regarding PREA. In addition, every facility has ADA personnel to ensure offenders with disabilities have access to PREA related forms and publications.

Site Observation:

PREA information to include agency Reporting flyers were observed to be posted in English and Spanish throughout the facility, in offender housing units, administrative and program areas.

(a) The Bertie Correctional Institution PAQ states the agency has established procedures to provide disabled Inmates equal opportunities to be provided with and learn about the agency's efforts to prevent, detect and respond to sexual abuse and sexual harassment.

NCDAC PREA Prevention Planning, Policy Number: DAC-PREA-100, page 9-10, section N. 1-4, states, "Each facility shall take appropriate steps to ensure that person in confinement residents, and safekeepers with disabilities (including, for example, person in confinement residents, and safekeepers who are deaf or hard of hearing, those who are blind or have low vision, or those who have intellectual, psychiatric, or speech disabilities) and person in confinement residents, and safekeepers who are Limited English Proficient, have an equal opportunity to participate in or benefit from all aspects of DAC's efforts to prevent, detect, and respond to sexual abuse and sexual harassment by:

1. Ensuring effective communication with person in confinement, residents, and safekeepers who are deaf or hard of hearing, by providing access to interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary;
2. Ensuring that written materials are provided in formats or through methods that ensure effective communication with person in confinement residents, and safekeepers with disabilities;
3. Providing interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary; and 4
4. Not relying on person in confinement, resident or safekeeper interpreters, readers, or other types of assistants except in limited circumstances where an extended delay

	in obtaining an effective interpreter could compromise the person in confinement, resident, or safekeeper's safety, the performance of first-response duties under PREA standards §115.64, 115.264, Page 10 of 10 and 115.364 or the investigation of the person in confinement, resident, or safekeeper's allegations." The facility provided a Language Resource Center Interpretation & Transition Services "Access Contact Sheet". The access sheet demonstrates the facility has an active contract with a language service that provides contact instructions. (b) The Bertie Correctional Institution PAQ states the agency has established procedures to provide inmates with limited English 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. Policy compliance can be found in provision (a) of this standard. (c) The Bertie Correctional Institution PAQ states the agency prohibits the use of inmate interpreters, inmate readers, or other types of inmate assistants except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the inmate's safety, the performance of first-response duties under §115.64, or the investigation of the inmate's allegations. In the last 12 months the facility has had zero instances where inmates were used for interpreters. Policy compliance can be found in provision (a) of this standard. Through such reviews of the facility providing ADA trained Case Managers to ensure offenders are able to comprehend information provided to them, the facility exceeds the standard requirements.
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115.17	Hiring and promotion decisions
	Auditor Overall Determination: Meets Standard Auditor Discussion Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Policy DAC-PREA-100, dated 1.1.2023 3. NCDAC Criminal History Check Form, dated 7.2023

4. NCDAC Applicant Verification, dated 7.2023

5. NCDAC Memorandum, RE: Standard 115.17 C-1, dated 6.20.2025

Interviews:

1. Administrative Specialist

The interview with the Administrative Specialist demonstrated criminal history background checks and administrative adjudication questions are completed for each applicant and contract personnel before having access to offenders and during the promotion process. The Administrative Specialist stated she was new to her position at this facility and was currently working on a system to document background check due dates. The Administrative Specialist stated affirmative duty is required of all staff, contractors and volunteers must report within 24 hours of each event and she completes and or forwards institutional reference checks for all applicants.

Site Observation:

By utilizing the PREA Audit Adult Prison & Jail Documentation Review Employee File/ Records template demonstrated 21 of 21 employee, two contractor and two volunteer files reviewed had background checks upon hire and every five years, thereafter. The facility was able to demonstrate administrative adjudication questions were asked during the hiring and promotion processes and institutional references are requested and completed for applicable applicants.

(a) The Bertie Correctional Institution PAQ states the agency policy prohibits hiring or promoting anyone who may have contact with inmates and prohibits enlisting the services of any contractor who may have contact with inmates who: (1) 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); (2) Has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse; or (3) Has been civilly or administratively adjudicated to have engaged in the activity described in paragraph (a)(2) of this section.

NCDAC Prisons Policy & Procedures, Policy DAC-PREA-100, page 5, section C. 1-2., states, "Hiring, Promotion, Employment, and Contractor Service Decisions

1. DAC shall not hire or promote anyone who may have contact with person in confinement residents, or safekeepers, and shall not enlist the services of any contractor who may have contact with person in confinement residents, or

safekeepers, who:

- i. Has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, or other institution (as defined in 42 U.S.C. 1997);
- ii. 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;
- iii. Has a substantiated finding of abuse, neglect, or other rights infringement on any applicable NC registry, criminal justice standards commission, or other licensing authorities or bodies; or
- iv. Has been civilly or administratively adjudicated to have engaged in the activities described in this section.

2. In the event an employee is alleged to have engaged in any of the activities described in Sections IV.C.1.i-iv, they will be reassigned from all person in confinement, resident, and safekeeper contact and management will consult with the DAC PREA Office, DAC Central Human Resources, and the DAC General Counsel's Office to determine whether an internal investigation is required in accordance with the DAC-OIA-100 OIA Authority to Conduct Investigations policy."

The facility provided a NCDAC Application Verification which prompts applications to answer each of the required administration adjudication questions.

(b) The Bertie Correctional Institution PAQ states agency policy requires the consideration of any incidents of sexual harassment when determining to hire and or promote anyone, or to enlist services of any contractor, who may have contact with inmates.

NCDAC Prisons Policy & Procedures, Policy DAC-PREA-100, page 5, section C. 3, states, "DAC shall consider any incidents of sexual harassment in determining whether to hire or promote anyone, or to enlist the services of any contractor or custodial agents, who may have contact with person in confinement residents, or safekeepers."

(c) The Bertie Correctional Institution PAQ states agency policy requires that before it hires any new employees who may have contact with inmates, it (a) conducts criminal background record checks, and (b) consistent with federal, state, and local law, makes 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. In the past 12 months, the number of

people hired who may have contact with inmates who have had criminal background record checks was 149.

NCDAC Prisons Policy & Procedures, Policy DAC-PREA-100, page 5, section C. 4., states, "Before hiring new employees who may have contact with person in confinement, residents, or safekeepers DAC shall:

a. Perform a criminal and administrative background records check, to include any applicable North Carolina registry, criminal justice standards commission, or other licensing authorities or bodies; and

b. Consistent with Federal, State, and local law, make its best effort 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."

(d) The Bertie Correctional Institution PAQ states the agency policy requires that a criminal background records check be completed before enlisting the services of any contractor who may have contact with inmates. In the past 12 months there have been zero contracts for services where criminal background record checks needed to be conducted.

NCDAC Prisons Policy & Procedures, Policy DAC-PREA-100, page 5, section C. 5, states, "DAC shall perform a criminal background record check before enlisting the services of any contractor who may have contact with person in confinement residents, or safekeepers."

(e) The Bertie Correctional Institution PAQ states the agency requires background checks to be completed every five years.

NCDAC Prisons Policy & Procedures, Policy DAC-PREA-100, page 5, section C. 6, states, "For current employees and contractors who may have contact with person in confinement residents, or safekeepers, DAC shall conduct criminal background records checks at least once every five years."

The facility provided a NCDAC memorandum from the Administrative Officer III addressed to the PREA Auditor providing the following action plan to ensure each of the following areas have continued compliance.

1. Prior Institutional Employer Contact:

Bertie Correctional Institution has implemented a process whereby, during the hiring phase, the Human Resources department makes documented, good-faith efforts to contact all previous institutional employers of applicants. The purpose is to obtain any information related to substantiated allegations of sexual abuse or any resignation during a pending investigation involving such allegations. This process is consistent with federal, state, and local laws, and all correspondence is maintained in the applicant's background file for audit purposes.

2. Contractor Background Checks:

Before any contractor or vendor is permitted entry or engagement where contact with Offenders is possible, a criminal background check is conducted through the Department of Adult Corrections approved screening process. Contractors are not cleared to begin any on-site work until this background verification is completed and results reviewed.

3. Five-Year Rechecks of Staff and Contractors:

Bertie Correctional Institution maintains an electronic tracking system within the Human Resources database that monitors the dates of initial and subsequent background checks for all employees and contractors. This system flags individuals approaching the five-year mark to ensure timely re-screening. In cases where automated flagging is not feasible, administrative staff perform quarterly audits to capture compliance and ensure no lapse in background rechecks for any personnel who may have contact with offenders.

4. Tracking System

Bertie Correctional Institution utilizes a centralized electronic tracking system to document all completed background checks for employees and contractors. This system records the date of each initial check and automatically calculates the due date for the required five-year recheck. Administrative staff regularly review the tracker to ensure all personnel with offender contact remain in compliance with PREA standards. The system provides information for upcoming recheck deadlines, allowing sufficient time for processing and preventing any lapses in background screening. This proactive approach ensures

continuous compliance and supports the institution's commitment to maintaining a safe and secure environment.

These procedures demonstrate our institution's ongoing commitment to maintaining a safe, secure, and PREA compliant environment for both staff and offenders. Documentation supporting each element of this process is available upon request.

(f) NCDAC Prisons Policy & Procedures, Policy DAC-PREA-100, page 6, section C. 7,

	states, “For all applicants and employees who may have contact with person in confinement residents, or safekeepers, DAC shall ask about previous misconduct described in this section in written applications, in interviews for hiring or promotions, and in any interviews or written self-evaluations conducted as part of reviews of current employees.” (g) The Bertie Correctional Institution PAQ states that agency policy states that material omissions regarding such misconduct, or the provision of materially false information, shall be grounds for termination. NCDAC Prisons Policy & Procedures, Policy DAC-PREA-100, page 7, section C. 8, states, “All employees shall have a continuing affirmative duty to disclose sexual misconduct. Material omissions regarding such misconduct, or the provision of materially false information, shall be grounds for termination.” The facility provided an NCDAC Criminal History Check demonstrating the form used to complete criminal history background checks. (h) NCDAC Prisons Policy & Procedures, Policy DAC-PREA-100, page 7, section C. 9, states, “Unless prohibited by law, upon receiving a request from an institutional employer for whom an employee or former employee has applied to work, DAC shall provide information on substantiated allegations of sexual abuse or sexual harassment involving the employee or former employee.” Through such reviews, the facility meets the standard requirements.
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115.18	Upgrades to facilities and technologies
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ Interviews:

	1. Associate Warden 2. PREA Director The interview with facility Associate Warden demonstrated the facility has not made any substantial medications or installed cameras since the last PREA Audit. The interview with the PREA Director demonstrated camera systems are applied to aid in reviewing evidence and or finding patterns; phone systems are monitored to review conversations between staff and offenders and offenders and families; agency computer systems are employed to document medical responses such as the HERO system and all systems are used in union to prevent and protect in relation to sexual harassment and sexual abuse. Site Observation: Facility cameras were reviewed in the Warden's office to include the kitchen areas, living units, warehouse, storage rooms and the perimeter of the facility. Cameras were clear and all appeared to be working during the onsite review. (a) The Bertie Correctional Institution PAQ states the facility has not acquired a new facility or made substantial expansions or modifications to existing facilities since the last PREA audit. (b) The Bertie Correctional Institution PAQ states the facility has installed new cameras since the last PREA audit. Through such reviews, the facility meets the standard requirements.
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115.21	Evidence protocol and forensic medical examinations
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Division of Prisons Policy and Procedure: Chapter F. 3400, dated 6.9.2022

3. NCDAC Clinical Practice Guidelines CPG-18, dated 2.2014
4. Memorandum of Understanding, Real Crisis Intervention Center, dated 4.17.2025.
5. Training Progress Summary Pie Chart – PREA – PREA Support Person Training
6. NCDAC Local Law Enforcement Memorandum, dated 2.28.2025
7. Post Audit: NCDAC Memorandum, RE: Standard 115.21 c-1, not dated
8. Post Audit: NCDAC Memorandum, RE Standard 115.21 D, not dated
9. Post Audit: Training Progress Summary Pie Chart demonstrating – PREA – PREA Support Person Training Report, dated 1.22.2022 – 4.24.2025
10. Post Audit: Advocate Email Communication, dated 8.14.2025
11. Post Audit: Law Enforcement Request for MOU, dated 8.21.2025

Interviews:

1. Nurse Supervisor

The interview with the Nurse Supervisor demonstrated that she is aware of signs and symptoms of sexual abuse and would immediately report allegations to the PREA Compliance Manager or the Officer in Charge and plan to send victims of sexual assault to Nash General Hospital.

Site Observation:

During the tour the advocate number was dialed from offender phones and it was found that the advocate does not service Bertie County where the facility resides. Post audit the facility provided an email communication from the advocate's Executive Director stating the following. : Per our conversation to day (August 13, 2025) regarding our PREA MOU to help serve Bertie County. I found that on June 3, 2025 at 12:23p, your office called to confirm Bertie County DOC and REAL Crisis MOU to better serve incarcerated sexual assault victims. This call was answered by a crisis counselor, who stated that REAL does not serve Bertie County. This statement was not correct. REAL Crisis does have an active MOU with Bertie County to serve incarcerated sexual assault victims. This MOU is signed by the Executive Director. I am sorry for any miscommunication. Thank you."

Corrective Action Plan:

- Provide PSP training documentation as qualified agency staff members.

- Upload all required information to the associated provision in the OAS.

Post audit the facility provided a memorandum from the PREA Compliance Manager addressed to the PREA Auditor stating, "The primary hospital where forensic examination would be completed is the local ECU Health Bertie Hospital. Bertie Correctional is in contact with Emergency Department Director at Nash General. We are awaiting return of the signed MOU. Attached to this memo is the correspondence between Bertie Correctional Institution and Nash General Hospital in reference to this."

Post audit the facility provided a memorandum from the PREA Compliance Manager addressed to the PREA Auditor stating, In reference to audit standard 115.21 D the advocate (Real Crisis Inc.) the facility has a memorandum of understanding with does not provide services to Bertie County. The previous advocate used was Roanoke Chowan S.A.F.E. (Services for Abused Families with Emergencies) that was a domestic violence and sexual assault agency located in Ahoskie, North Carolina that serviced Bertie County. This agency has gone out of business and in their absence facility PREA Support staff fill the role providing victim advocate services."

Post audit the facility provided a Training Progress Summary Pie Chart demonstrating – PREA – PREA Support Person Training report demonstrating seven facility staff members have completed PREA Support training and can fill the role of victim advocates.

Post audit the facility provided an email communication from the PREA Compliance Manager to the County Sheriff requesting a signed memorandum.

(a) The Bertie Correctional Institution PAQ states the facility is responsible for conducting administrative sexual abuse investigations (including inmate-on-inmate sexual abuse or staff sexual misconduct). If another agency has responsibility for conducting either administrative or criminal sexual abuse investigations, the name of the agency that has responsibility is the Windsor Sheriff Department.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 27, section A. i., states, "Investigations into allegations of sexual abuse and sexual harassment, shall be conducted promptly, thoroughly, and objectively for all allegations, including third-party and anonymous reports."

(b) The Bertie Correctional Institution PAQ states The protocol was adapted from or otherwise based on the most recent edition of the DOJ'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.

(c) The Bertie Correctional Institution PAQ states the facility offers all inmates who experience sexual abuse access to forensic medical examinations. Forensic examinations are offered at no cost to the victim. Where possible, all examinations are conducted by SAFE or SANE examiners. The number of forensic exams conducted during the past 12 months was zero.

NCDAC Clinical Practice Guidelines CPG-18, page 5. C., section VI, states, "All care for sexual abuse will be provided at no cost."

(d) The Bertie Correctional Institution PAQ states the facility attempts to make a victim advocate from a rape crisis center available to the victim, in person or by other means. All efforts are documented. If a rape crisis center is not available to provide victim advocate services, the facility provides a qualified staff or community member.

The facility provided a memorandum of understanding between Bertie Correctional Institution and the Real Crisis Interventions Center. The memorandum and expires on December 31, 2025, and is signed by the Facility Warden and the Real Crisis Intervention Center Executive Director on 4.17.2025.

(e) The Bertie Correctional Institution PAQ states a qualified staff or community member accompanies and supports the victim through the forensic medical examination process and investigatory interviews and provides emotional support, crisis intervention, information and referrals.

NCDAC Division of Prisons Policy and Procedure: Chapter F. 3400, page 23, section 5. C., states, "As requested by the victim, the PREA support person, of the same gender, shall accompany and support the victim through the forensic medical examination process."

	The facility provided a Training Progress Summary Pie Chart – PREA – PREA Support Person Training demonstrating 13 facility personnel have been trained to work with victims of sexual abuse in place of a community advocate. (f, g, h) The Bertie Correctional Institution PAQ states the agency is not responsible for investigating administrative or criminal allegations of sexual abuse and relies on another agency to conduct these investigations, the agency has requested that the responsible agency follow the requirements of paragraphs §115.21 (a) through (e) of the standards. Through such reviews, the facility meets the standard requirements.
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115.22	Policies to ensure referrals of allegations for investigations
	Auditor Overall Determination: Meets Standard
	Auditor Discussion Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Policy: PREA Investigations, DAC-PREA-300, dated 1.1.2023 Interviews: 1. Captain / Investigator 2. PREA Director / Head of Agency The interview with the Investigator demonstrated each allegation of sexual harassment or sexual abuse are taken seriously and investigated regardless of the source of the allegation. The interview with the PREA Director demonstrated allegations are investigated thoroughly, promptly, and objectively within agency expected timelines of 30 days. The PREA Director stated she reaches out directly to any facility requested for an extension and if granted, those extensions do not go beyond 10 days. In addition, all requests for extensions are documented in the agency Automate database.

	Site Observation: The facility has had three sexual harassment and two sexual abuse allegations in the past 12 months. Of those five investigations, each were reviewed during the pre-audit phase, none required law enforcement contact and investigations were completed promptly, once reported. (a) The Bertie Correctional Institution PAQ states the agency ensures that an administrative or criminal investigation is completed for all allegations of sexual abuse and sexual harassment (including inmate-on-inmate sexual abuse and staff sexual misconduct). In the past 12 months the facility has had three allegations of sexual abuse and sexual harassment. NCDAC Policy: PREA Investigations, DAC-PREA-300, page 6, section B., states, "All facilities that house persons in confinement, residents, or safekeepers shall implement a written institutional plan, consistent with the DAC coordinated plan, to coordinate actions taken by employee first responders, medical and mental health practitioners, investigators, and facility leadership in response to an incident of sexual abuse." (b-c) The Bertie Correctional Institution PAQ states the agency has policy that requires allegations of sexual abuse or harassment to be referred for investigation to an agency with the legal authority to conduct criminal investigations. NCDAC Policy: PREA Investigations, DAC-PREA-300, page 6, section L., states, "Substantiated allegations of conduct that appears to be criminal shall be referred for prosecution." (d) The Bertie Correctional Institution PAQ states if the agency is responsible for conducting administrative or criminal investigations of alleged sexual abuse, and another state entity has that responsibility, this other entity has a policy governing how such investigations are conducted is not applicable. Through such reviews, the facility meets the standard requirements.
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115.31	Employee training
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	Auditor Overall Determination: Exceeds Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 3. NCDAC Office of Staff Development and Training PREA: Sexual Abuse and Sexual Harassment 101, dated 7.1.2024 4. NCDAC Office of Staff Development and Training PREA: Sexual Abuse and Sexual Harassment 201, dated 7.11.2023 5. NCDAC PREA Staff Training Acknowledgment of Understanding, dated 11.7.2023 Interviews: 1. Correctional Officers Interviews with Correctional Officers demonstrated each received initial, annual and refresher PREA education. Correctional Officers stated training is delivered to them throughout the year through annual in-service, the agency learning management system (LMS), and line up several times a month. Site Observation: Utilization of the PREA Audit Adult Prison & Jail Documentation Review Employee File / Records Review template demonstrated 20 of 21 employees interviewed had completed annual training regarding the agency zero tolerance policy and refresher training on agency zero tolerance policies each year for the past two years. (a) The Bertie Correctional Institution PAQ states the agency trains all employees who may have contact with Inmates in all required provisions of this standard. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 6, section (a) (1) (A-L), states, “New Employees: shall receive the Sexual Abuse and Harassment 101 training that addresses the following: A. The agencies standard of zero-tolerance of sexual abuse and sexual harassment toward offenders, either by staff, contractors, volunteers, or by offenders.

- B. Employees' responsibilities when responding to sexual abuse and harassment;
- C. Offenders' right to be free from sexual abuse and sexual harassment;
- D. Offenders' and employees' right to be free from retaliation for reporting sexual abuse and harassment;
- E. The dynamics of sexual abuse and sexual harassment in confinement;
- F. Common reactions of sexual abuse and sexual harassment victims;
- G. Detect and respond to signs of threatened and actual sexual abuse;
- H. How to avoid inappropriate relationships with offenders;
- I. How to communicate effectively and professionally with offenders, including lesbian, gay, bisexual, transgender, intersex, or gender nonconforming offenders;
- J. How to comply with relevant laws related to mandatory reporting of sexual abuse to outside authorities;
- K. Relevant laws regarding age of consent; and
- L. Unique attributes of working with males and/or females in confinement/supervision."

The facility provided a NCDAC Office of Staff Development and Training PREA: Sexual Abuse and Sexual Harassment 101 Presentation with the following training objectives.

1. Identify the "Prison Rape Elimination Act (PREA) of 2003" and the agency's zero-tolerance policy of sexual abuse and sexual harassment for offenders/persons under supervision.
2. Define sexual abuse and sexual harassment.
3. Define people in confinement and under supervision right to be free from sexual abuse and sexual harassment, and from retaliation for reporting.
4. Identify relevant laws.
5. Define employee responsibilities when responding to sexual abuse and sexual harassment.
6. Define the unique attributes of working with females in confinement/under supervision.
7. Define the unique attributes of working with males in confinement/under supervision.
8. Define the vulnerabilities of people in confinement/under supervision.

9. Identify the dynamics of sexual abuse and sexual harassment in of people in confinement and under supervision.
10. Identify how to detect signs of threatened and actual sexual abuse of people in confinement and under supervision.
11. Identify the common reactions to sexual abuse and sexual harassment.
12. Identify methods of avoiding inappropriate relationships with people in confinement and under supervision.

(b) The Bertie Correctional Institution PAQ states training is tailored to the unique needs and attributes and gender of Inmates at the facility. Employees who are reassigned from facilities housing the opposite gender are given additional training. Policy compliance can be found in provision (a) of this standard.

(c) The Bertie Correctional Institution PAQ states between trainings the agency provides employees who may have contact with inmates with refresher information about current policies regarding sexual abuse and sexual harassment. The facility completes refresher training annually.

The facility provided NCDAC Office of Staff Development and Training In-Service Training, titled: PREA Sexual Abuse and Sexual Harassment 201. The plan includes the following training objectives:

1. Identify the Prison Rape Elimination Act (PREA) and prevention strategies.
2. Define sexual abuse and sexual harassment of people in confinement and under supervision.
3. Define relevant North Carolina General Statutes.
4. Identify the NCDAC policies on sexual abuse and sexual harassment.
5. Identify ways to report sexual abuse and sexual harassment.
6. Define first responder duties.
7. Identify disciplinary sanctions.

(d) The Bertie Correctional Institution PAQ states the agency documents that employees who may have contact with inmates understand the training they have received through employee signature or electronic verification.

	The facility provided an NCDAC PREA Staff Training Acknowledgment of Understanding where employees attest to the following statement. 'I acknowledge understanding of the Prison Rape Elimination Act of 2003, NC General Statute Chapter 14-27.31, and the agency's zero tolerance policy for sexual abuse and sexual harassment. I also acknowledge that I must immediately report any knowledge, suspicion, or information regarding an incident of sexual abuse or sexual harassment.' Through such reviews of employees receiving PREA education multiple times a year, the facility exceeds the standard requirements.
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115.32	Volunteer and contractor training
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 3. Bertie Correctional Institution Volunteer Orientation PowerPoint Presentation, not dated 4. NCDAC PREA Staff Training Acknowledgment of Understanding, dated 11.7.2023 Interviews: 1. Volunteers 2. Contractor - Chaplin 3. Contractor - Mental Health Professional The interview with the volunteers and the contractors demonstrated each received education on the agency zero tolerance policy and reporting requirements before having access to offenders. Each stated they would report information to the Officer in Charge, the Captain or the nearest Correctional Officer.

Site Observation:

Utilization of the PREA Audit Adult Prison & Jail Documentation Review Employee File / Records Review template demonstrated the each had completed training on the agency sexual abuse and sexual harassment and reporting requirements in the 2024 or 2025.

(a) The Bertie Correctional Institution PAQ states all volunteers and contractors who have contact with Inmates have been trained on their responsibilities under the agency's policies and procedures regarding sexual abuse and harassment prevention, detection, and response. 432 total contract staff and volunteers who have contact with inmates have completed the required training.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 7, section (b)(1)(A), states, "Volunteers (with the exception of One-Time volunteers who have no direct contact with offenders), custodial agents, contractors and other persons providing services to offenders:

(i) Shall receive the Sexual Abuse and Harassment 101 training as part of initial orientation which addresses:

- The agencies standard of zero-tolerance of sexual abuse and sexual harassment toward offenders, either by staff, contractors, volunteers, or by offenders; and
- Applicable methods to report incidents of sexual abuse and sexual harassment.

(ii) The application process will not be complete until the volunteer verifies understanding of training by signing the PREA Acknowledgement Form and returning the form to the facility."

(b) The Bertie Correctional Institution PAQ states 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 inmates. All volunteers and contractors who have contact with inmates have been notified of the agency's zero-tolerance policy regarding sexual abuse and sexual harassment and informed how to report such incidents.

The facility provided a Bertie Correctional Institution Volunteer Orientation PowerPoint Presentation with the following information.

- Introduction of Volunteer Coordinators

- Chain of Command
- Facility Address
- An Overview of the Facility
- Lesson Objectives
- Disclaimer
- Mission Objectives
- Volunteer Handbook
- PREA
- PREA and NCDAC
- Entrance / Exit Policy
- Eligibility
- Standards of Conduct
- Undue Familiarity
- Confidentiality of Information
- Public Information
- The Don'ts of Volunteers
- The Do's of Volunteers
- Dress Code

(c) The Bertie Correctional Institution PAQ states the agency maintains documentation confirming that the volunteers and contractors understand the training they have received.

The facility provided an NCDAC PREA Staff Training Acknowledgment of Understanding where employees attest to the following statement. 'I acknowledge understanding of the Prison Rape Elimination Act of 2003, NC General Statute Chapter 14-27.31, and the agency's zero tolerance policy for sexual abuse and sexual harassment. I also acknowledge that I must immediately report any knowledge, suspicion, or information regarding an incident of sexual abuse or sexual harassment.'

	Through such reviews, the facility meets the standard requirements.
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115.33	Inmate education
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 3. End the Silence Brochure, dated 3.24.2023 4. NCDAC PREA Person in Confinement or Under Supervision Education Acknowledgment, dated 10.8.2024 5. NCDAC PREA Reporting – Help Prevent Prison Sexual Violence Posting in English and Spanish, dated 3.24.2023 6. Post Audit: NCDAC Memorandum, RE: Sustainable Action Plan for §115.33 A/B, dated 6.16.2025 7. Post Audit: Bertie CI CM Screening & Orientation Log, dated 2025 Interviews: 1. Random Offenders 2. Targeted Offenders 3. Captain Interviews with 30 offenders demonstrated 13 of those offenders have been in the facility for more than 12 months. Of the 17 offenders who have been admitted in the past 12 months, five reported not being provided PREA education. Interviews with 12 offenders demonstrated they had received PREA information to include the agency zero tolerance policy, awareness of their rights not to be sexually harassed or sexually abused and internal and external reporting options to include reporting to staff, reporting through their tablets or the grievance process, calling the anonymous hotline or telling a friend or family member. The interview with the Captain demonstrated offenders are provided PREA education

during the intake process by reading a bulleted form explaining the agency zero tolerance policy, their rights, internal and external reporting options and advocacy information and each are given a brochure. The Captain stated the following day they meet with their Case Manager who again educates them on PREA and has them sign an acknowledgment of understanding.

Site Observation:

Utilization of the PREA Audit Adult Prison & Jail Documentation Review Inmate File / Records Review template demonstrated 17 of 30 offenders entered the facility within the past 12 months and 12 of those offenders received PREA education during the orientation process.

Corrective Action Plan:

- Provide documented education to each offender who has not been previously educated on the agency zero tolerance policy, reporting requirements and their rights regarding sexual harassment and sexual abuse. This education can be documented via rosters if those rosters state the training includes the agency zero tolerance policy, reporting requirements and their rights regarding sexual harassment and sexual abuse.
- Appropriate facility personnel to provide a memorandum with a sustainable action plan stating which facility position will ensure all requirements of §115.33 are met and sustained. Memorandum to be addressed to the DOJ PREA Auditor, date and author of the memorandum and standard in question.
- Upload all required information to the associated provision in the OAS

Post audit the facility provided a Bertie CI CM Screening & Orientation Log demonstrating 43 offenders have been trained on their rights, internal and external reporting requirements and information on sexual abuse advocates.

Post audit the facility provided a NCDAC memorandum from the PREA Compliance Manager addressed to the PREA Auditor stating the following sustainable action plan.

“Action Plan Components

1. Intake Education Process

- Upon intake, all inmates receive verbal and written PREA education during orientation within the first 72 hours of arrival.
- Education includes a PREA video presentation, facility handbook, and verbal explanation of policies and reporting options.
- Acknowledgment forms are signed by inmates and placed in their institutional file.
- PREA information is reinforced during classification interviews and initial case management reviews.

2. Accessible Formats for Special Populations

- PREA materials are available in multiple languages, including Spanish and other commonly spoken languages.
- Qualified interpreters are used for inmates with limited English proficiency, in accordance with Title VI.
- Simplified language handouts and one-on-one explanations are provided for inmates with cognitive disabilities.

3. Continuous Access to PREA Education

- Posters, brochures, and flyers outlining PREA rights and reporting methods are displayed in housing units, medical, programs, and visitation areas.
- Inmates can request additional information at any time through case managers or PREA staff.

4. Documentation and Verification

- All PREA education is documented using signed acknowledgment forms, with dates and formats noted.
- Special accommodations provided (e.g., interpreter use, simplified materials) are noted in the inmate's education record.

5. Staff Training and Accountability

- Intake staff, case managers, and program officers are trained annually on:
 - o Delivering PREA education effectively and clearly.
 - o Identifying and accommodating special needs populations.

6. Monitoring and Quality Assurance

- The PREA Compliance Manager conducts monthly audits of PREA education records to ensure timeliness and completeness.
- Quarterly random interviews with inmates are conducted to verify their understanding of PREA rights and reporting procedures.
- Feedback from inmates and staff is used to improve education delivery and accessibility.

Responsible Staff

- Intake Case Manager: Delivers initial PREA education and ensures acknowledgment forms are signed.
- PREA Compliance Manager: Oversees documentation, ensures accessible formats, and audits compliance.
- Assigned Case Managers: Reinforce education during follow-ups and track special needs.
- Training Coordinator: Ensures staff are trained on proper PREA education procedures."

(a) The Bertie Correctional Institution PAQ states inmates receive information at time of intake about the zero-tolerance policy and how to report incidents or suspicions of sexual abuse or sexual harassment. The number of inmates admitted in the past 12 months who were given this information at intake was 1260.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 10, section (d) Offender Education, 1-2, state,

1. "RECEPTION: All offenders shall receive, during reception, information explaining the agency's zero-tolerance policy regarding sexual abuse and sexual harassment, how to report incidents or suspicions of sexual abuse and sexual harassment, prevention/intervention, self-protection, treatment, and counseling (5-ACI-3D
2. INTAKE: All offenders shall receive comprehensive education about sexual abuse and sexual harassment. Such education shall be completed within 30 days of intake and upon transfer to a different facility. (A) Comprehensive education shall include: (i) Offenders' rights to be free from sexual abuse and sexual harassment; (ii) Offenders' rights to be free from retaliation for reporting incidents of sexual abuse and sexual harassment; and (iii) Policies and procedures for responding to incidents of sexual abuse and sexual harassment. (iv) Methods available to offenders for reporting incidents of sexual abuse or sexual harassment internally and to an external agency

or entity.”

(b) The Bertie Correctional Institution PAQ states the number of those inmates admitted during the past 12 months (whose length of stay in the facility was for 30 days or more) who received comprehensive education on their rights to be free from both sexual abuse and sexual harassment and retaliation for reporting such incidents and on agency policies and procedures for responding to such incidents within 30 days of intake was 1035.

(c) The Bertie Correctional Institution PAQ states of those who were not educated during 30 days of intake, all offenders have been subsequently educated. Agency policy requires that inmates who are transferred from one facility to another be educated regarding their rights to be free from both sexual abuse and sexual harassment and retaliation for reporting such incidents and on agency policies and procedures for responding to such incidents, to the extent that the policies and procedures of the new facility differ from those of the previous facility.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 10, section (d) Offender Education, 3, states, “TRANSFER: All offenders shall receive education about sexual abuse and sexual harassment upon transfer to a different facility.

a. Education shall be completed utilizing the Offender Fact Sheet OPA-T101 Facilitator Talking Points.

b. Each offender shall receive a copy of the PREA Brochure.

c. Each offender will sign the Orientation Form and placed in his/her field jacket.

d. Education for offenders shall be offered by a designated employee at the facility.”

(d) The Bertie Correctional Institution PAQ states Inmate PREA education is available in accessible formats for all inmates including those who are limited English proficient, deaf, visually impaired, otherwise disabled or have limited reading skills.

The facility provided an End the Silence Brochure providing the following information.

- Zero Tolerance
- What is Sexual Harassment
- What is Sexual Abuse

- What is Staff Voyeurism
- Examples of Staff Voyeurism
- Tips for Avoiding Sexual Abuse and Sexual Harassment
- Right to Report
- How to Report
- External Reporting Options
- If You Are Abused
- Notice for Failure to Report

(e) The Bertie Correctional Institution PAQ states the facility maintains documentation of inmate participation in PREA education sessions. Documentation can be found in provision (d) of this standard.

The facility provided a PREA Person in Confinement or Under Supervision Education Acknowledgment in English and Spanish were offenders attest to the following. "I have received education on the Prison Rape Elimination Act, information on Rape Crisis Center services, and have been afforded an opportunity to ask questions related to the material presented. I understand that I am encouraged to report any threat or occurrence of undue familiarity or offender sexual abuse and sexual harassment to the Department of Adult Correction staff so that any potential victim may be protected and the abuser can be prosecuted to the fullest extent of the law. By my signature below, I acknowledge that I received and understand the information provided about "PREA: People in Confinement or Under Supervision."

(f) The Bertie Correctional Institution PAQ states the agency ensures that key information about the agency's PREA policies is continuously and readily available or visible through posters, inmate handbooks, or other written formats.

The facility provided a NCDAC PREA Reporting – Help Prevent Prison Sexual Violence posting in English and Spanish. The posting includes the following information.

- Agency commitment to zero tolerance
- Reporting information for People In Confinement, Family and Friends, Employee Responsibilities and Employee Reporting.

	Through such reviews, the facility meets the standard requirements.
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115.34	Specialized training: Investigations
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 3. PREA: Sexual Abuse and Sexual Harassment Investigations, for the Office of Special Investigations Curriculum, dated 6.1.2017 4. Training Progress Summary Pie Chart – PREA – Investigating Sexual Abuse in a Confinement Setting Interviews: 1. Captain / Investigator The interview with the Investigator and personnel file review demonstrated that she had completed investigator training through online classes and in person classes through the agency. Site Observation: Post audit the facility provided Training Progress Summary Pie Chart – PREA – Investigating Sexual Abuse in a Confinement Setting demonstrating five facility personnel have completed the required specialized training. (a) The Bertie Correctional Institution PAQ states the agency policy requires that investigators are trained in conducting sexual abuse investigations in confinement settings. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 9, section (c), states, “Investigators: Sexual Abuse and Harassment

- i. Shall complete appropriate employee training defined in section .3406(a)
- ii. Shall receive training on conducting sexual abuse and harassment investigations in a confinement setting. Such training shall include:
 - 1. Techniques for interviewing sexual abuse victims;
 - 2. Proper use of Miranda and Garrity Warnings;
 - 3. Sexual abuse evidence collection in a confinement setting; and
 - 4. Criteria and evidence required to substantiate a case for administrative action or prosecution referral.”

The facility provided a PREA: Sexual Abuse and Sexual Harassment Investigations, for the Office of Special Investigations curriculum. Training objectives include the following.

- 1. Identify the “Prison Rape Elimination Act (PREA) of 2003” and the National Standards.
- 2. Identify associated North Carolina sexual offense statutes.
- 3. Identify NCDPS Divisional Sexual Abuse and Sexual Harassment Policies.
- 4. Define the importance of a specialized Sexual Abuse (PREA) Investigator.
- 5. Define sexual abuse and sexual harassment.
- 6. Define Investigative Warnings Identify common patterns of sexual abuse in confinement settings.
- 7. Define a Victim-Centered Investigative Approach.
- 8. Identify interviewing sexual abuse victims.
- 9. Identify the responsibilities of the Investigator in sexual abuse and sexual harassment incidents.
- 10. Identify the process and responsibilities of the OSI Investigator in a sexual abuse or sexual harassment investigation.
- 11. Define Incident Scene and Evidence Processing in confinement settings.
- 12. Determine validity and standard of proof for administrative action or prosecution referral.

	(b) The agency states investigator training has been completed in the agency learning management system which was derived from the National Institute for Corrections Specialized Investigator training website, which includes techniques for interviewing sexual abuse victims, proper use of Miranda and Garrity warnings, sexual abuse evidence collection in confinement settings, and the criteria and evidence required to substantiate a case for administrative action or prosecution referral. (c) The Bertie Correctional Institution PAQ states the agency shall maintain documentation that agency investigators have completed the required specialized training in conducting sexual abuse investigations. The facility has five employees who has completed investigator training. Through such reviews, the facility meets the standard requirements.
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115.35	Specialized training: Medical and mental health care
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 4. Post Audit: NCDAC Training Course Record – Sexual Abuse and Sexual Harassment Medical/Mental Health Response, dated 7.8.2025 5. Post Audit: NCDAC Memorandum, RE: Standard 115.35 A 1-4, not dated 6. Post Audit: NCDAC Memorandum, RE: PREA For Health Services, dated 8.7.2025 Interviews: 1. Nurse Supervisor 2. Licensed Mental Health Professional Interviews with medical and mental health staff demonstrated each completes annual training on the agency zero tolerance policy; however, training specialized training had not been completed for each medical and mental health staff to include contract

personnel.

Site Observation:

File review demonstrated medical and mental health staff, to include contract personnel, have not completed the required specialized training for medical and mental health staff.

Corrective Action Plan:

- Provide documented specialized training for all facility medical and mental health personnel to include contract personnel.
- Appropriate agency personnel to provide a memorandum with a sustainable action plan stating which agency position will ensure contract medical and mental health personnel have the required specialized training required for medical and mental health contractors. Memorandum to be addressed to the DOJ PREA Auditor, date and author of the memorandum and standard in question.
- Appropriate facility personnel to provide a memorandum with a sustainable action plan stating which facility position will ensure all medical and mental health facility personnel are met and sustained. Memorandum to be addressed to the DOJ PREA Auditor, date and author of the memorandum and standard in question.
- Upload all required documentation to the associated provision in the OAS.

Post audit the facility provided two NCDAC Training Records - Sexual Abuse and Sexual Harassment Medical/Mental Health Response demonstrating 11 facility practitioners have completed the required specialized training for medical and mental health staff.

Post audit the facility provided a memorandum from the Chief, Division of Comprehensive Health Services Chief Medical Officer addressed to the Agency PREA Director stating, "As a corrective measure to address training exceptions identified during the Federal PREA audit, Comprehensive Health Services has implemented the following modification:

1. All Health Services staff with direct offender contact who have not previously completed PREA for Health Services are required to complete the training no later than August 31, 2025.
2. All on-boarding Health Services staff will complete the training during orientation.

3. Training is recorded on Smartsheet and OSDT.
4. The Health Authority at each facility, regional and central office leadership has access to the Smartsheet and can provide evidence of training.
5. The facility training coordinator or designee may pull LMS training records for full-time employees.
6. The facility warden or designee is responsible for ensuring all employees complete the required training.

We appreciate your support as we move forward with the implementation of becoming compliant.”

Post audit the facility provided a NCDAC memorandum from the PREA Compliance Manager addressed to the PREA Auditor stating the following.

1. Initial PREA Medical/Mental Health Training

All newly hired medical and mental health personnel must complete PREA-specific training within 30 days of hire.

The training will cover:

Clinical care standards for inmate victims of sexual abuse.

Mandated procedures for documentation and reporting.

Trauma-informed care principles.

Inmate confidentiality and rights regarding abuse disclosures.

Completion will be documented in personnel records and logged by the facility’s Training Department.

2. Annual Refresher Training

All existing staff will participate in mandatory annual refresher training.

Content will include:

Updates to PREA policy and procedures.

Case reviews or scenario-based exercises.

Updates on community standards of care and relevant medical protocols.

A schedule for refresher training will be coordinated with Health Services and Mental Health Supervisors to ensure full participation without interrupting service delivery.

3. Training Documentation and Audit Preparation

Staff will sign PREA training attendance rosters and/or complete electronic acknowledgments.

Training certificates or acknowledgments will be stored in employee files.

The PREA Compliance Manager will maintain a master PREA Medical/Mental Health Training Log and conduct quarterly audits of compliance.

4. Oversight and Continuous Improvement

The PREA Compliance Manager will:

Monitor training completion rates and address gaps immediately.

Collaborate with healthcare leadership to evaluate training effectiveness.
Ensure all PREA-related medical responses are consistent with policy.
Report compliance status to the Warden quarterly and prior to PREA audits.

(a) The Bertie Correctional Institution PAQ states the agency has a policy related to the training of medical and mental health practitioners who work regularly in its facilities. The number of all medical and mental health care practitioners who work regularly at this facility who receive the training required by agency policy is seven medical personnel.

A. Shall complete mandated training defined in section .3406(a) for Employees; or mandated training defined in section .3406(b) for Volunteers, Custodial Agents, Contractors, and Other Persons Providing Services to Offenders for contractors. All full- and part-time medical and mental health care practitioners who work regularly in its facilities shall be trained in:

- I. Detecting and assessing signs of sexual abuse and sexual harassment;
- II. Preserving physical evidence of sexual abuse;
- III. Responding effectively and professionally to victims of sexual abuse and sexual harassment; and
- IV. How and to whom to report allegations or suspicions of sexual abuse and sexual harassment.

B. Verification of employee training shall be documented on form OSDT-1 and in appropriate agency training tracking system.”

(b) The Bertie Correctional Institution PAQ states their medical staff do not conduct forensic medical exams.

(c) The Bertie Correctional Institution PAQ states the agency maintains documentation showing that medical and mental health practitioners have completed the required training.

The facility provided two PREA – for Health Services certificates demonstrating the facility medical and mental health staff have completed the required specialized education.

	Through such reviews, the facility meets the standard requirements.
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115.41	Screening for risk of victimization and abusiveness
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 3. NCDAC OPA-S010 Screening for Risk, dated 10.22.2024 4. Post Audit: NCDAC Bertie PREA Training Documentation 5. Post Audit: NCDAC Memorandum, RE: Sustainable Action Plan for PREA Standard 115.41, dated 6.17.2025 6. Post Audit: Screen Prints of Completed 72 Hour and 30 Day Risk Assessments Interviews: 1. Random Offenders 2. Targeted Offenders 3. Correctional Captain 4. PREA Coordinator Interviews with 15 targeted and 15 random offenders demonstrated 17 of those offenders had been admitted into the facility in the past 12 months. Of those 17 offenders 12 remembered being asked risk screening questions to include being asked about prior sexual abuse while incarcerated, how each identifies and if they had safety concerns coming into the facility. The interview with the Correctional Captain demonstrated risk assessments are completed with offenders within three hours of intake by calling them one by one into a private office in the intake area. The Correctional Captain stated offenders are asked questions regarding prior sexual abuse not reported while each has been incarcerated, their sexual preference, and if they feel they could be victimized. The Correctional Captain stated she would immediately notify medical or mental health if

an offender disclosed past abuse that was not previously reported through an email communication. The Correctional Captain stated risk assessments are again completed within 15 to 30 days of intake and if the facility received information warranting another assessment. We talked through reassessing transgender and intersex offenders twice annually as the Correctional Captain had not yet experienced such offenders being held at the facility. The Correctional Captain stated all cells are single cells and vulnerable offenders are not let out at the same time as aggressive offenders. (Offenders are let out of their cells 12 at a time, for a period of time, and aggressive offenders are not let out at the same time as vulnerable offenders.)

The interview with the PREA Coordinator demonstrated only the diagnostic centers have access to the entire offender risk assessment.

Site Observation:

Utilization of the PREA Audit Adult Prison & Jail Documentation Review Inmate File / Records Review template demonstrated 17 of 30 offenders interviewed have been admitted into the facility in the past 12 months. Of those 17 offenders seven had completed risk assessments within 72 hours of intake and 12 had completed risk assessments within 30 days of admission into the facility.

Corrective Action Plan:

- Provide documented education to appropriate facility personal on each provision of 115.41.
- Facility to track 72 hour and 30 day assessments for 60 days on a spread sheet with offender number, intake date, 72 hour risk screening date and 30 day risk screening date from 6.3.2025 through 8.3.2025
- Appropriate facility personnel to provide a memorandum with a sustainable action plan stating which facility position will ensure all requirements of §115.41 are met and sustained. Memorandum to be addressed to the DOJ PREA Auditor, date and author of the memorandum and standard in question.
- Upload all required information to the associated provision in the OAS.

Post audit the facility provided documented training demonstrating 14 facility personnel have been trained on Standard 115.41(b) & 115.41(f) by reading the standard language.

Post audit, the facility provided screenshots verifying timely completion of 72-hour and 30-day risk assessments for the past 60 days, indicating sustained compliance with assessment timelines.

Post audit the facility provided a memorandum from the PREA Compliance Manager addressed to the PREA Auditor stating, "To implement and sustain a facility-wide screening process that identifies inmates at risk of sexual victimization or sexual abusiveness upon intake and ensures that information is used to inform housing, programming, and supervision decisions in accordance with PREA Standard 115.41.

PREA Standard 115.41 Requirements Overview:

Screening must be completed within 72 hours of intake.

Facilities must consider a list of risk factors for both victimization and abusiveness.

Screening must be conducted using an objective, evidence-based instrument.

Periodic re-assessment is required within 30 days and as warranted by new information.

Information must be used to guide housing, work, education, and program placements while protecting confidentiality.

No inmate may be disciplined for refusing to answer screening questions.

Action Plan Components

1. Standardized Intake Screening Process

All inmates are screened within 72 hours of arrival using the Department of Adult Correction's standardized PREA Risk Screening Instrument.

Screenings are conducted in private settings by trained intake or classification staff.

The instrument evaluates risk factors including age, physical build, sexual orientation, gender identity, history of sexual victimization or abusiveness, mental health status, prior incarceration history, and vulnerability due to disability.

2. 30-Day Reassessment & Ongoing Review

Inmates are re-screened within 30 days of arrival to capture any changes or disclosures made after intake.

Additional re-assessments are conducted following incidents, transfers, or significant changes in behavior or status.

Classification teams review screening outcomes quarterly to ensure housing and program assignments remain appropriate.

3. Staff Training and Confidentiality

Intake, case management, and classification staff receive annual training on:

Conducting risk screenings sensitively and objectively.

Recognizing signs of victimization or abusiveness.

Maintaining the confidentiality of screening results.

Screening results are stored in a secure, limited-access section of the electronic

offender management system.

4. Informed Housing and Program Placement

Screening results are reviewed to make individualized housing, bed, work, and education assignments that ensure the inmate's safety.

Inmates identified as high risk for victimization are not housed with known or likely abusers.

Transgender and intersex inmates are given serious consideration in placement decisions and are consulted on their safety preferences.

5. Protection from Discrimination and Retaliation

Inmates are informed that refusal to answer questions on the risk screening will not result in discipline.

PREA Compliance and Mental Health staff monitor to ensure there is no retaliation or discrimination based on responses or screening outcomes.

6. Monitoring and Quality Control

The PREA Compliance Manager audits all screenings monthly to ensure completion within 72 hours and proper reassessments at 30 days.

Internal audits review the alignment between screening data and housing/work/program placements.

A random sampling of screening forms is conducted each quarter for quality assurance.

Responsible Roles

Intake Case Manager: Administers screening tool within required timeframe.

Case Managers/Classification Staff: Review and reassess screening results and implement appropriate placements.

PREA Compliance Manager: Audits process, oversees staff training, and ensures data security and use.

Mental Health/Medical Staff: Support identification of inmates with risk factors related to mental or physical health.

Post audit the facility provided a BCI #4880 2025 CM Screening / Orientation Log demonstrating the following was documented for 60 days.

- Offender Name
- OPUS Number
- Arrival Date
- Assigned Date
- Orientated
- 24 HR CM Screen

- 30 Day CM Screen – dated 6.4.2025 through 7.23.2025

(a) The Bertie Correctional Institution PAQ states the facility has a policy that requires screening, upon admission or transfer, for risk of sexual abuse victimization or sexual abusiveness toward other Inmates.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 11-12, section (e) General Provision, (1)(A) states, “Screening for risk of victimization and abusiveness:

A. All offenders and safekeepers shall receive a screening inventory, administered via the web-based OPUS intake system, within 24 hours after admission to Prisons (5-ACI-3D-10). Diagnostic Services staff shall conduct screening to determine an offender’s risk of being sexually abused by other offenders or their risk of being sexually abusive towards other offenders (5-ACI-3D-12, 5-ACI-3D-13). The screening shall use an objective screening instrument that obtains the following minimum biographical data about the offender:

- (i) Whether the offender has a mental, physical, or developmental disability;
- (ii) The age of the offender;
- (iii) The physical build of the offender;
- (iv) Whether the offender has previously been incarcerated;
- (v) Whether the offender’s criminal history is exclusively nonviolent;
- (vi) Whether the offender has prior convictions for sex offenses against an adult or child;
- (vii) Whether the offender is or is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender nonconforming;
- (viii) Whether the offender has previously experienced sexual victimization;
- (ix) The offender’s own perception of vulnerability; (x) Whether the offender is detained solely for civil immigration purposes; and
- (x) The initial screening shall consider prior acts of sexual abuse, prior convictions for violent offenses, and history of prior institutional violence or sexual abuse, as known to the agency, in assessing offenders for risk of being sexually abusive.”

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 12, section (G), states, “Upon transfer to another facility, within 24 hours, the PCM and/or OIC shall review an offender’s risk of

victimization and abusiveness by reviewing the dashboard and acknowledging housing placement is appropriate.”

(b) The Bertie Correctional Institution PAQ states the number of inmates entering the facility (either through intake or transfer) within the past 12 months (whose length of stay in the facility was for 72 hours or more) who were screened for risk of sexual victimization or risk of sexually abusing other inmates with 72 hours of their entry into the facility was 1223. Policy compliance can be found in provision (a) of this standard.

(c-e) The Bertie Correctional Institution PAQ states the facility conducts risk assessments by using an objective screening instrument. The facility does not house offenders solely for civil immigration purposes.

The facility provided an NCDAC-S010 Screening for Risk. The screening includes the following components:

A. Ask the Person in Confinement

1. (§115.41(d)1-3 and 115.241(d)1-3 (fig.1, q.1-3, 10)

i. General information such as gender, body build, race, age, date of birth, and height

ii. Health class information to include physical capability and mental health

iii. Education level to include: Highest grade completed (if Person in Confinement is a HS graduate or has a GED? Years of college- if applicable

iv. If the Offender has any ADA status requirements?

v. Status as Developmental Disability?

2. (§115.41(d)4-6 and 115.241(d)4-6 (fig.1, q.4-6)

i. Previous incarceration

ii. Criminal History (Fig 2)

iii. Prior convictions for sex offenses against an adult or child

Note: This information reassesses in the event new charges have been added.

3. (§115.41(d)7-9 and 115.241(d)7-9 (fig.1, q.7,11-13)

i. If the Offender is gay, lesbian, bisexual, transgender, intersex, or gender non-conforming

ii. If the Offender has experienced prior sexual victimization

iii. Offender's/resident's own perception of vulnerability (115.81(a-c)), they will be afforded an opportunity for a follow-up meeting with mental health. (fig.1, q.13)

B. Observe the Offender

1. (§115.41(d)7 and 115.241(d)7 (fig.1, q.14)

Does the screener perceive the Offender to be gay, lesbian, bisexual, transgender, intersex or gender nonconforming?

C. Alerts and Referrals

1. An automatic referral is made to mental health when there is a "Yes" response to any question 1-6."

(f) The Bertie Correctional Institution PAQ states the policy requires that the facility reassess each inmate's risk of victimization or abusiveness within a set time period, not to exceed 30 days after the inmate's arrival at the facility, based upon any additional, relevant information received by the facility since the intake screening. The number of inmates entering the facility (either through intake or transfer) within the past 12 months (whose length of stay in the facility was for 30 days or more) who were reassessed for their risk of sexual victimization or of being sexually abusive with 30 days after their arrival at the facility based upon any additional relevant information received since intake was 334.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 12, section (F), states, "Within a set time period, not to exceed 30 days from the offender's arrival at the facility, the facility will reassess the offender's risk of victimization or abusiveness based upon any additional, relevant information received by the facility since the intake screening."

(g) The Bertie Correctional Institution PAQ states the policy requires that an inmate's risk level be reassessed when warranted due to a referral, request, incident of sexual abuse, or receipt of additional information that bears on the inmate's risk of sexual victimization or abusiveness.

	NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 13, section (H), states, “An offender’s risk level shall be reassessed when warranted due to a referral, request, incident of sexual abuse and/or sexual harassment, or receipt of additional information that bears on the offender’s risk for sexual victimization or abusiveness.” (h) The Bertie Correctional Institution PAQ states the policy prohibits disciplining inmates for refusing to answer (or for not disclosing complete information related to) questions regarding: (a) whether or not the inmate has a mental, physical, or developmental disability; (b) whether or not the inmate is or is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender non-conforming; (c) whether or not the inmate has previously experienced sexual victimization; and (d) the inmate's own perception of vulnerability. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 12, section (E), states, “Offenders may not be disciplined for refusing to answer or for not disclosing complete information during screening or assessment.” (i) NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 11, section (D), states, “The responses to the MHSI, are confidential; therefore, the facility shall implement appropriate controls on the dissemination of responses to questions asked in order to ensure that sensitive information is not exploited to the offender’s detriment by staff or other offenders.” Through such reviews, the facility meets the standard requirements.
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115.42	Use of screening information
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022

Interviews:

1. Targeted Offenders
2. Facility Compliance Specialist / PREA Compliance Manager
3. PREA Director / Head of Agency

Interviews with three vulnerable, one aggressor, two gay, and two bisexual, and one transgender offender demonstrated they felt sexually safe in the facility, were respected by their dormmates and staff members and didn't have any complaints about their housing or job assignments.

The interview with the PREA Compliance Manager demonstrated vulnerable offenders are not housed in the same units with aggressive offenders as they are separated by block and Unit Managers are made aware of offenders on the High Risk for Aggression (HRA) and High Risk for Vulnerability (HRV). The PREA Compliance Manager stated he reviews the HRA and HRV report every Monday to ensure offenders who came in over the weekend are housed appropriately so he can address assignments as soon as possible.

The interview with the PREA Director demonstrated the agency has a Transgender Accommodation Review Committee that reviews all special requests from individual transgender inmates. In addition, the PREA Director stated the agency system will not allow potential victims and potential aggressors to be placed in work or education assignments at the same time, preventing any possible ongoing victimization and or perpetration incidents from taking place.

(a) The Bertie Correctional Institution PAQ states the facility uses information from the risk screening required by §115.41 to inform housing, bed, work, education, and program assignments with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 13-14, section (3) Use of screening information, (C) states, "Any information related to sexual victimization or abusiveness that occurred in an institutional setting shall be strictly limited to medical and mental health practitioners and other staff, as necessary, to inform treatment plans and security and management decisions, including housing, bed, work, education, and program assignments, or as otherwise required by Federal, State, or local law."

(b) The Bertie Correctional Institution PAQ states the agency/facility makes individualized determinations about how to ensure the safety of each inmate.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 15, section 3 (B)(iv), states, “) The facility shall make individualized determination for bed assignments, based on facility housing designs, to ensure the safety of each offender.”

(c) The Bertie Correctional Institution PAQ states the agency/facility makes housing and program assignments for transgender, or intersex inmates in the facility on a case-by-case bases.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 15, section (E) states, “In deciding whether to assign a transgender or intersex offender to a facility for male or female offenders, and in making other housing and programming assignments, the agency shall consider on a case-by-case basis whether a placement would ensure the offender’s health and safety, and whether the placement would present management or security problems.”

(d) NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 15, section (F) states, “Placement and programming assignments for each transgender or intersex offender shall be reassessed by the case manager at least twice each year to review any threats to safety experienced by the offender.”

(e) NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 15, section (G) states, “A transgender or intersex offender’s own views with respect to his or her own safety shall be given serious consideration.”

(f) NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 16, section (H) states, “Transgender and intersex offenders shall be given the opportunity to shower separately from other offenders.”

	(g) NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 14, section (I) states, "The agency shall not place lesbian, gay, bisexual, transgender, or intersex offenders in dedicated facilities, units, or wings solely on the basis of such identification or status, unless such 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 such offenders." Through such reviews, the facility meets the standard requirements.
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115.43	Protective Custody
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 Interviews: 1. Associate Warden The interview with the Associate Warden demonstrated the facility places any offender who requests protective custody in restricted housing for their safety. The facility makes an attempt to move offenders alleging sexual abuse back to regular population if the investigation has no merit; however, each are allowed to stay in restricted housing if requested. (a) The Bertie Correctional Institution PAQ states the agency has a policy prohibiting the placement of inmates at high risk for sexual victimization in involuntary segregated housing unless and an assessment of all available alternatives has been made, and a determination has been made that there is not available alternative means of separation from likely abusers. The number of inmates at risk of sexual victimization who were held in involuntary segregated housing for the past 12 months for one to 24 hours awaiting completion of assessment was zero. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and

Sexual Harassment Policy, page 16, section (4)(A) Protective Custody A., states, "Offenders at high risk for sexual victimization shall not be placed in restrictive housing unless an assessment of all available alternatives has been made, and a determination has been made that there is no available alternative means of separation from likely abusers (5-ACI-4B-34). If a facility cannot conduct such an assessment immediately, the facility may hold the offender in restrictive housing for less than 24 hours while completing the assessment."

(b) NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 16, section (4) (B)., states, "Offenders placed in restrictive housing for this purpose shall have access to programs, privileges, education, and work opportunities to the extent possible. If the facility restricts access to programs, privileges, education, or work opportunities, the facility shall document:

- i. The opportunities that have been limited;
- ii. The duration of the limitation; and
- iii. The reasons for such limitations."

(c) The Bertie Correctional Institution PAQ states the number of inmates at risk of sexual victimization who were assigned to involuntary segregated housing in the past 12 months, for longer than 30 days while awaiting alternative placement was zero.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 17, section (4) (C)., states, "The facility shall assign such offenders to restrictive housing only until an alternative means of separation from likely abusers can be arranged, and such an assignment shall not ordinarily exceed a period of 30 days.

(i) Alternative placements can include, but are not limited to, the following temporary options:

- Relocation to a different housing unit;
- Placement in a cell or bed closer to the Corrections Officer's desk within the unit;
- Any other housing area that the facility head or designee deems appropriate to separate from likely abusers."

	(d) The Bertie Correctional Institution PAQ states from a review of case files of inmates at risk of sexual victimization who were held in involuntary segregated housing in the past 12 months, the number of case files that include BOTH (a) a statement of the basis for facilities concerns for the inmate's safety, and (b) the reason or reason why alternative means of separation could not be arranged was zero. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 17, section (4)(D), states, "If a restrictive housing assignment is made pursuant to paragraph (a) of this section, the facility shall clearly document: i. The basis for the facility's concern for the offender's safety; and ii. The reason why no alternative means of separation can be arranged. iii. The other alternative means for separation were explored. (e) The Bertie Correctional Institution PAQ states if an involuntary segregated housing assignment is made, the facility affords each such inmate a review every 30 days to determine whether there is a continuing need for separation from the general population. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 17, section (4)(E), states, "Every 30 days, the facility shall afford each such offender a review to determine whether there is a continuing need for separation from the general population." Through such reviews, the facility meets the standard requirements.
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115.51	Inmate reporting
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and

Sexual Harassment Policy, dated 6.9.2022

3. NCDAC PREA Reporting – Help Prevent Prison Sexual Violence Posting in English and Spanish, dated 1.1.2023

Interviews:

1. Random Offenders
2. Targeted Offenders
3. Correctional Officers

Six informal and 30 formal interviews with offenders demonstrated each were aware of reporting options to include the PREA hotline, third party reports, reporting directly to staff, completing a PREA form or writing a letter to legal services.

Interviews with Correctional Officers demonstrated they would accept and report any type of allegation received regardless of the source of the allegation.

Site Observations:

During the tour, in addition to standardized bulletin boards with PREA reporting information, phone placards were observed to be posted near offender pay phones. The placards included the PREA hotline and the speed dial to the county sexual abuse advocate. The Auditor tested the PREA hotline phone number by dialing the number from an offender phone and the call was connected to a message instructing callers that the call could be anonymous and to leave information regarding the allegation and the facility where sexual harassment or sexual abuse had taken place. The Auditor left a message, and the call was returned the following morning.

(a) The Bertie Correctional Institution PAQ states the agency has established procedures allowing for multiple internal ways for inmates to report privately to agency officials about: (a) sexual abuse or sexual harassment; (b) retaliation by other inmates or staff for reporting sexual abuse and sexual harassment; and (c) staff neglect or violation of responsibilities that may have contributed to such incidents.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 18, section (f)(1)(A)(i), states, “Multiple internal ways shall be provided for offenders to privately report sexual abuse and sexual harassment, retaliation by other offenders or staff for reporting sexual abuse and

sexual harassment, and staff neglect or violation of responsibilities that may have contributed to such incidents.”

The facility provided a NCDAC PREA Reporting – Help Prevent Prison Sexual Violence flyer. This posting provides internal and external reporting instruction for the following individuals.

- People Under Supervision
- Family and Friends
- Employee Responsibilities
- Employee Reporting

(b) The Bertie Correctional Institution PAQ states facility provides at least one way for inmates to report abuse or harassment to a public or private entity or office that is not part of the agency. The agency has a policy requiring inmates detained solely for civil immigration purposes be provided information on how to contact relevant consular officials and relevant officials of the Department of Homeland Security. Policy compliance can be found in provision (a) of this standard.

(c) The Bertie Correctional Institution PAQ states the agency has a policy mandating that staff accept reports of sexual abuse and sexual harassment made verbally, in writing, anonymously, and from third parties. Staff are required to document verbal reports. Policy compliance can be found in provision (a) of this standard.

(d) The Bertie Correctional Institution PAQ states the agency has established procedures for staff to privately report sexual abuse and sexual harassment of inmates.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 17, section (C) Staff and Agency Reporting Duties, state,

(i) All staff are required to report immediately 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.

(ii) Staff has a duty to report any allegations that offenders are having sexual

	relationships with other offenders or with staff. (iii) Any retaliation against offenders or staff who reported such an incident; and any staff neglect or violation of responsibilities that may have contributed to an incident or retaliation. (iv) Staff may report allegations privately. Ways to report include but are not limited to: i. The PREA office by email at PREA@ncDAC.gov, or by telephone at (919) 825-2754. ii. Anonymously by contacting the Fraud, Waste, Abuse & Misconduct Hotline at (844) 208-4018. iii. Local law enforcement agency. (v) All reports of sexual abuse and sexual harassment, however made, are to be forwarded to the Facility Head and the PREA Office.” Through such reviews, the facility meets the standard requirements.
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115.52	Exhaustion of administrative remedies
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Policy & Procedures Chapter G. 0300 Administrative Remedy Procedure, dated 8.1.2013 3. Rules and Policies Department of Corrections, dated 4.2010 Interviews: 1. Random Offenders 2. Targeted Offenders 3. Facility Compliance Specialist / PREA Compliance Manager Interviews with offenders demonstrated their awareness of the grievance procedures

and stated grievances are available by asking a correctional officer or having the ability to retrieve on their own. Offenders stated they did not experience issues when requesting grievances.

The interview with the PREA Compliance Manager demonstrated grievance boxes are checked every day of the week.

Site Observation:

During the tour grievance boxes were observed to be near Control booths in each housing unit.

(a) The Bertie Correctional Institution PAQ states the agency has an administrative procedure for dealing with inmate grievances regarding sexual abuse.

NCDAC Policy & Procedures Chapter G. 0300 Administrative Remedy Procedure, page 1, section (a)-(e), state, “

a. “The policy of the North Carolina Department of Adult Correction (DAC), Division of Institutions (DOI) is to provide offenders an opportunity for administrative settlement of legitimate grievances. Most grievances can be resolved quickly through informal communication with responsible authorities at the facility in which the problem arose. An offender should be encouraged to use this method prior to the initiation of a formal grievance.

b. When this method is not possible, DAC seeks to reduce tension and provide a stable atmosphere by providing formal channels of communication of grievances by utilizing the Administrative Remedy Procedure (ARP).

c. A formal grievance is a written complaint, submitted either in paper form on a Form DC-410, or when permitted, electronic form, by an offender on the offender's own behalf concerning an action, incident, policy, or condition within a prison facility.

d. The ARP shall afford a successful grievant a meaningful remedy to include but not be limited to, an order requiring that specific action be taken, modification of DOI policy, restoration or restitution for personal property, and such other remedies that will meaningfully resolve the grievance presented.

e. Employees who intentionally obstruct the grievance process shall be subject to disciplinary action.”

The facility provided a Rules and Policies Department of Corrections demonstrating the grievance procedures are explained on page 22 and emergency grievances are on page 23 of the handbook.

(b) The Bertie Correctional Institution PAQ states agency policy or procedure allows an inmate to submit a grievance regarding an allegation of sexual abuse at any time, regardless of when the incident is alleged to have occurred.

NCDAC Policies & Procedures Chapter G Section .0300, page 7, section .0308
Emergency Grievances (a)-(c) state,

a. "Emergency grievances must be labeled as such and are grievances regarding matters which pose imminent substantial risk of personal injury or serious and irreparable harm to an offender.

b. Emergency grievances shall be submitted at an offender's housing facility and forwarded immediately, without substantive review, to the level at which corrective action can be taken by the facility screening officer. Review at the corrective action level shall include a determination as to whether the grievance is in fact of an emergency nature. Review at the corrective action level shall conclude with a Step 2 response, including any action taken in response to the grievance, within five days.

c. Absent a substantiated determination that the grievance is of an emergency nature set forth above, all other matters shall not constitute the basis for use of an emergency grievance. Grievances determined not to be of an emergency nature will be routed through the normal grievance process for response."

(c) The Bertie Correctional Institution PAQ states the agency's policy and procedure allows an inmate to submit a grievance alleging sexual abuse without submitting it to the staff member who is the subject of the complaint. The agency's policy and procedure require that an inmate grievance alleging sexual abuse not be referred to the staff member who is the subject of the complaint.

NCDAC Policies & Procedures Chapter G Section .0300, page 4, section .0305 (a)-(f)
Screening Officer, state,

a. "Wardens will appoint one or more screening officers. Screening officers shall be fair, knowledgeable regarding the grievance procedure, including time frames established therein, and capable of mediation of grievances at the facility level.

b. No employee who appears to be involved in a grievance shall participate in any capacity in the resolution process, except as a witness where necessary. In addition, no employee who appears to be involved in an offender sexual abuse or harassment

allegation shall accept a grievance which suggests such personal involvement or shall participate in any capacity in the response to the grievance.

c. The screening officer will review grievances submitted by offenders and decide whether the grievance meets one of the rejection criteria set forth in Section .0304 and .0306 herein, or whether the grievance shall be accepted for facility response. This screening shall be completed within three days of receipt of the grievance.

d. Receipt of grievances, to include collection of drop-box locations or grievances transmitted through facility mail, shall occur every 24 hours. Wardens shall be responsible for ensuring there are sufficient screening officers to cover absences, holidays, and other non-working days.

e. Offenders shall receive written or electronic notice of whether the grievance has been accepted for processing or if it has been rejected, including the basis for rejection, within three days after receipt.

f. If the screening officer determines that the grievance can be considered under the procedure, the screening officer may forward it to the staff member whom the officer believes can best provide information or relief."

(d) The Bertie Correctional Institution PAQ states the agency's policy and procedures that require a decision on the merits of any grievance or portion of a grievance alleging sexual abuse be made within 90 days of the filing of the grievance. In the past 12 months there have been 11 grievances filed alleging sexual abuse. In the past 12 months, the number of grievances alleging sexual abuse that reached final decision within 90 days after being filed was 121.

NCDAC Policy & Procedures Chapter G. 0300 Administrative Remedy Procedure, page 5, section .0306 Rejection of Grievances (c) 1-5 states, "Challenges matters beyond the control of DAC. With the exception of offender sexual abuse or harassment grievances, a grievance may be rejected at any level if:

1. An offender has submitted three grievances regarding separate incidents and none of the three previously submitted grievances have completed Step 2 review or been resolved.

2. There has been a time lapse of more than 90 days between the alleged event and receipt of the grievance.

3. The offender has requested a remedy for another offender, except in case of an allegation of sexual abuse or harassment. This shall not apply to grievances related to policies or conditions made on behalf of a group of offenders, in which the submitting offender is a member.

4. The offender has requested a remedy for more than one unrelated incident. This

shall not apply to grievances related to policies or conditions made as a pattern of incidents which are related in type.

5. The offender's grievance directs toward any person language that is generally considered profane, vulgar, abusive, contemptuous, or threatening. Offenders who violate this rule may be subject to disciplinary action. The grievance may be resubmitted for processing after objectionable language has been eliminated."

(e) The Bertie Correctional Institution PAQ states agency policy and procedure permit third parties, including fellow inmates, staff members, family members, attorneys, and outside advocates, to assist inmates in filing requests for administrative remedies relating to allegations of sexual abuse and to file such requests on behalf of inmates. Agency policy and procedure requires that if an inmate declines to have third-party assistance in filing a grievance alleging sexual abuse, the agency documents the inmate's decision to decline. The number of grievances alleging sexual abuse filed by inmates in the past 12 months in which the inmate declined third-party assistance, containing documentation of the inmate's decision to decline was zero.

NCDAC Policy & Procedures Chapter G. 0300 Administrative Remedy Procedure, page 2, section .0302 Accessibility, section (c), states, "Only PREA-related grievances regarding allegations of sexual abuse may be submitted by third parties, including fellow offenders, staff members, family members, attorneys, and outside advocates, on an offender's behalf. Such PREA related grievances from third parties must be submitted to the Warden of the facility where the offender is housed. A facility may require, as a condition of processing the third-party grievance, that the alleged victim consent to have the grievance submitted on their behalf and require their participation in subsequent steps in the grievance process. If the offender declines to have the third-party grievance processed on their behalf, the facility shall document the offender's decision."

(f) The Bertie Correctional Institution PAQ states the facility has a policy and established procedures for filing an emergency grievance alleging that an inmate is subject to a substantial risk of imminent sexual abuse. The facilities policy and procedures for emergency grievances alleging substantial risk of imminent sexual abuse require an initial response within 48 hours. The facilities policy and procedure for emergency grievances alleging substantial risk of imminent sexual abuse require that a final agency decision be issued within five days. Zero grievances were received alleging substantial risk of imminent sexual abuse, which were filed in the past 12 months.

	(g) The Bertie Correctional Institution PAQ states the facility has a written policy that limits its ability to discipline an inmate for filing a grievance alleging sexual abuse to occasions where the agency demonstrates that the Inmate filed the grievance in bad faith. In the past 12 months, there have been zero grievances alleging sexual abuse to occasions where the agency demonstrated that the Inmate filed the grievance in bad faith. NCDAC Policy & Procedures Chapter G. 0300 Administrative Remedy Procedure, page 2, section .0303 Reprisals (a) states, “No reprisals shall be taken against any offender or staff member for a good faith use of or participation in the grievance procedure. The prohibition against reprisals should not be construed to prohibit discipline of offenders who do not use the system in good faith, in accordance with Section .0306(c)(5) herein.” Through such reviews, the facility meets the standard requirements.
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115.53	Inmate access to outside confidential support services
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 3. Training Progress Summary Pie Chart – PREA – PREA Support Person Training 4. Post Audit: Real Crisis Email Confirmation, dated 8.14.2025 Interviews: 1. Random Offenders 2. Targeted Offenders 3. Facility Compliance Specialist / PREA Compliance Manager Interviews with offenders demonstrated 17 of 30 offenders have been admitted in the past 12 months and 10 of those offenders were not aware of advocate services.

Site Observation:

During the tour the advocate number was dialed from offender phones and it was found that the advocate does not service Bertie County where the facility resides.

Post audit the agency provided an email communication from the Executive Director of the Real Crisis Advocacy agency stating the following. "Per our conversation to day (August 13, 2025) regarding our PREA MOU to help serve Bertie County. I found that on June 3, 2025 at 12:23p, your office called to confirm Bertie County DOC and REAL Crisis MOU to better serve incarcerated sexual assault victims. This call was answered by a crisis counselor, who stated that REAL does not serve Bertie County. This statement was not correct. REAL Crisis does have an active MOU with Bertie County to serve incarcerated sexual assault victims. This MOU is signed by the Executive Director. I am sorry for any miscommunication."

(a) The Bertie Correctional Institution PAQ states the facility provides inmates with access to outside victim advocates for emotional support services related to sexual abuse by:

- The facility provides inmates with access to such services by giving inmates addresses and telephone numbers (including toll-free hotline numbers where available) for local, state, or national victim advocacy or rape crisis organizations.
- The facility provides inmates with access to such services by giving inmates mailing addresses and telephone numbers (including toll-free hotline numbers where available) for immigrant services agencies for persons detained solely for civil immigration purposes.
- The facility provides inmates with access to such services by enabling reasonable communication between inmates and these organizations in as confidential a manner as possible.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 23, section (5)(E), states, "Offender victim shall be provided access to outside victim advocates for emotional support services related to sexual abuse by giving the offenders mailing addresses and telephone numbers, including toll-free hotline numbers where available, of local, State, or national victim advocacy or rape crisis organizations. The facility shall enable reasonable communication between offenders and these organizations and agencies, in as confidential a manner as possible."

	(b) The Bertie Correctional Institution PAQ states the facility informs Inmates, prior to giving them access to outside support services, the extent to which such communications will be monitored. The facility informs inmates, prior to giving them access to outside support services, of the mandatory reporting rules governing privacy, confidentiality, and/or privileges that apply for disclosures of sexual abuse made to outside victim advocates, including any limits to confidentiality under relevant Federal, State, or local law. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 23, section (F), states, “The facility shall inform the offenders, 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.” (c) The Bertie Correctional Institution PAQ states the facility maintains memoranda of understanding with community service providers that are able to provide inmates with emotional support services related to sexual abuse. The facility provided a Training Progress Summary Pie Chart – PREA – PREA Support Person Training demonstrating 13 facility personnel have been trained to work with victims of sexual abuse in place of a community advocate. Through such reviews, the facility meets the standard requirements.
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115.54	Third-party reporting
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Flyer, Reporting – Help Prevent Prison Sexual Violence, in English and Spanish, dated 1.1.2023 Interviews:

1. Random Offenders
2. Targeted Offenders
3. Correctional Officers
4. Supervisory staff

Interviews with offenders demonstrated an awareness that they could call a friend or family member who could report for them if they did not feel comfortable reporting on their own.

Interviews with Correctional Officers and facility personnel demonstrated each would accept a third-party report and immediately report the allegation to their immediate supervisor or the Officer in Charge.

Site Observation:

During the tour the agency Reporting flyer with third party reporting information was observed in housing units, housing unit hallways, chapel, dining hall, Programs and Administration buildings in Spanish and English.

(a) The Bertie Correctional Institution PAQ states the facility provides a method to receive third-party reports of inmate sexual abuse or sexual harassment. The agency publicly distributes information on how to report Inmate sexual abuse or sexual harassment on behalf of Inmates.

The facility provided a NCDAC Flyer, Reporting – Help Prevent Prison Sexual Violence, in English and Spanish providing ‘Family & Friends’ with email, phone and internal reporting options.

On 5.25.2025 at 12:58 pm MST the phone number 1.844.208.4018 was tested and reached the Waste, Fraud and Abuse hotline. A message instructs callers to leave information regarding sexual harassment and or sexual abuse. A message requesting a call back explaining steps that are taken when a report of sexual harassment, sexual abuse and or retaliation is reported on this hotline. The message was returned the following day with an explanation that information from all callers is forwarded to the PREA Director who in turn contacts the appropriate facility who will begin an investigation of the alleged complaint.

	Through such reviews, the facility meets the standard requirements.
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115.61	Staff and agency reporting duties
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 Interviews: 1. Correctional Officers 2. Medical and Mental Health Personnel 3. Captain / Investigator 4. Facility Compliance Specialist / PREA Compliance Manager 5. PREA Coordinator 6. Associate Warden Interviews with the facility personnel demonstrated each actively practices and understands the importance of immediately reporting all allegations of sexual abuse and sexual harassment. The interview with the PREA Coordinator demonstrated the facility would notify the North Carolina Department of Social Services for any offender under the age of 18 or offenders who meet the requirements for vulnerable adults. Site Observations: Utilizing the PREA Audit – Adult Prisons & Jails Documentation Review – Investigations template demonstrated the source of allegations were received through letters from victims and hotline calls.

(a/d) The Bertie Correctional Institution PAQ states 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 or sexual harassment that occurred in a facility, whether or not it is part of the agency. The agency requires all staff to report immediately and according to agency policy any retaliation against inmates or staff who reported such an incident. The agency requires all staff to report immediately and according to agency policy any staff neglect or violation of responsibilities that may have contributed to an incident or retaliation.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 19, section (C) Staff and Agency Reporting Duties, (i)-(iii), state,

- i. "All staff are required to report immediately 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.
- ii. Staff has a duty to report any allegations that offenders are having sexual relationships with other offenders or with staff.
- iii. Any retaliation against offenders or staff who reported such an incident; and any staff neglect or violation of responsibilities that may have contributed to an incident or retaliation."

(b) The Bertie Correctional Institution PAQ states, apart from reporting to designated supervisors or official and designated state or local service agencies, agency policy prohibits staff from revealing any information related to a sexual abuse report to anyone other than to the extent necessary to make treatment, investigation, and other security and management decisions.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 33-34, section (k), states, "CONFIDENTIALITY: The Facility Investigator and all others involved in the PREA process, to the extent possible, will ensure the confidentiality of PREA complaints as well as all data collected through the investigation of those complaints except as required in the following circumstances: (1) to cooperate with law enforcement in any investigation and prosecution of the incidents alleged in such complaints; (2) to take and enforce disciplinary action against any staff member as a result of the incidents alleged in the complaints; (3) to defend against claims brought by the offender for violation of the offender's rights for having been subjected to sexual abuse; and (4) to otherwise comply with the law."

	(c) NCDAC Policy: PREA Reporting, DAC-PREA-200, page 5, section D., states, "Employees, volunteers, contractors, and custodial agents shall immediately report: a. Any knowledge, suspicion, or information regarding an incident of person in confinement, resident, or safekeeper sexual abuse or sexual harassment involving a person in confinement, resident, or safekeeper; b. Any allegation that a person in confinement, resident, or safekeeper is having a sexual relationship with another person in confinement, resident or safekeeper, or with an employee, volunteer, contractor or custodial agent; c. Any retaliation against persons in confinement, residents, or safekeepers, or employees, volunteers, contractors, and custodial agents who reported such an incident; and any employee neglect or violation of responsibilities that may have contributed to an incident or retaliation; d. Any allegations involving an alleged victim that is under the age of 18 or considered a vulnerable adult; and e. To local law enforcement if there is evidence or suspicion that criminal conduct may have occurred." Through such reviews, the facility meets the standard requirements.
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115.62	Agency protection duties
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 Interviews: 1. Associate Warden 2. PREA Director / Head of Agency The interview with the Associate Warden demonstrated the facility places any offender who requests protective custody in restricted housing for their safety. The

	facility makes an attempt to move offenders alleging sexual abuse back to regular population if the investigation has no merit; however, each are allowed to stay in restricted housing if requested. The interview with the PREA Director demonstrated the agency's expectation that all personnel move quickly and respond immediately to any concern of an offender at risk of sexual safety. (a) The Bertie Correctional Institution PAQ states when the agency or facility learns that an inmate is subject to a substantial risk of imminent sexual abuse, it takes immediate action to protect the Inmate. In the past 12 months, the facility reports that zero inmates were subject to substantial risk of imminent sexual abuse. Upon discovery of inmates being subject to substantial risk, the facility immediately separates the victim from the perpetrator, made notification and completed incident reporting requirements. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 20, section (2), states, "Protection Duties: When the staff learns that an offender is subject to a substantial risk of imminent sexual abuse immediate action shall be taken to protect the offender." Through such reviews the facility meets the standard requirements.
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115.63	Reporting to other confinement facilities
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 Interviews: 1. Associate Warden

2. PREA Director / Agency Head

The interview with the Associate Warden demonstrated that he was aware that upon receiving an allegation that an offender was sexually abused while confined at another facility he would personally notify the Warden or Head of Agency at the facility where the allegation was alleged to have occurred within 72 hours of receipt of the allegation. The Associate Warden stated communication to the receiving facility would be documented in the agency Correspondence Tracking System.

The interview with the PREA Director demonstrated agency expectations are an immediate report is made to the facility where the complaint took place to include a copy of the victim/reporters' statement in the agency Correspondence Tracking System to ensure an investigation is completed within agency 30-day timeframe. In concurrence with reporting, the receiving agency will ensure the victim is provided medical and mental health care in the same manner as if the incident took place in the facility taking the report.

(a) The Bertie Correctional Institution PAQ states the agency has a policy requiring that, upon receiving an allegation that an inmate was sexually abused while confined at another facility, the head of the facility must notify the head of the facility or appropriate office of the agency or facility where sexual abuse is alleged to have occurred. The agency's policy also requires that the head of the facility notify the appropriate investigative agency. In the past 12 months the facility has received zero allegations that an inmate was abused while in confinement at another facility.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 20, section (D), states,

i. "Upon receiving an allegation that an offender was sexually abused while confined at another facility, the Warden of the facility that received the allegation shall notify the Warden of the facility or appropriate office of the agency where the alleged abuse occurred.

ii. Such notification shall be provided as soon as possible, but no later than 72 hours after receiving the allegation.

iii. The Warden shall document such notification by completing a memorandum to file and uploading into the correspondence tracking system (CTS).

iv. Upon receiving notification from another facility or agency that an allegation of sexual abuse or sexual harassment has been reported, the Warden shall ensure that the allegation is investigated in accordance with these standards."

	(b) The Bertie Correctional Institution PAQ states agency policy requires that the facility head provides such notification as soon as possible, but no later than 72 hours after receiving the allegation. Policy compliance can be found in provision (a) of this standard. (c) The Bertie Correctional Institution PAQ states the facility documents that it has not had a need to provide such notification within 72 hours of receiving the allegation. (d) The Bertie Correctional Institution PAQ states facility policy requires that allegations received from other agencies or facilities are investigated in accordance with the PREA standards. In the last 12 months, there have been zero allegations of sexual abuse. Policy compliance can be found in provision (a) of this standard. Through such reviews, the facility meets the standard requirements.
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115.64	Staff first responder duties
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 Interviews: 1. Correctional Officers Interviews with Correctional Officers demonstrated first responder steps would include calling the Officer in Charge, stopping the abuse, separating the victim and perpetrator, ensuring evidence on persons involved and or in the area where abuse occurred was not disturbed in any way and would write statements and or reports required.

(a) The Bertie Correctional Institution PAQ states the agency has a first responder policy for allegations of sexual abuse. The policy requires that, upon learning of an allegation that an inmate was sexually abused, the first security staff member to respond to the report shall be required to separate, preserve, protect, collect physical evidence, 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 occurs within a time period that still allows for the collection of physical evidence, 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. In the past 12 months, three sexual abuse allegations were received.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 20-22, section (3)(A), states, "Upon learning of an allegation that an offender was sexually abused, the first security staff member to respond to the report shall be required to:

i. Take necessary steps to separate the alleged victim and abuser. If the Facility Head, in consultation with the PREA Support Person, determines that the safety of the offender victim requires placement in administrative segregation, then:

- Such restrictive housing shall be administered in accordance with the applicable policies and procedures for restrictive housing for administrative purposes.

- The Warden has the discretion regarding how separation occurs, who is moved, and where. Should the alleged victim be placed in restrictive housing, then an analysis of 1) information from the Preliminary Review to include the type of allegation, 2) prior complaints filed against the alleged abuser, 3) will the movement appear punitive toward an alleged victim shall be considered, and 4) documentation of the decision to move the alleged victim.

- The Region Director and the DAC PREA Office shall be notified of the use of restrictive housing and the reasons, therefore.

- To the maximum extent possible, the offender victim while in restrictive housing for administrative purposes shall have the same privileges of access to the canteen, telephone, visitation and property as they were afforded prior to reporting.

- Within 3 business days of the offender victim's release from restrictive housing for administrative purposes, the Warden or designee will return the offender victim to the gain time job assignment the offender victim had prior to period of restrictive housing for administrative purposes, if available. If, for operational reasons, the offender victim's prior job assignment is unavailable, the Warden or designee will place the offender victim in another gain time job assignment that is at least equal to the prior gain time job assignment.

	· The Warden or designee will notify the Region Director in writing, that the offender victim has either been returned to prior job assignment or placed in equivalent one. · Within three business days of the receipt of the written notification from the Warden or designee, the Region Director, or their designee will request in writing to the Director of Rehabilitative Services that the offender victim's gain time be restored. · When offender victim is released from restrictive housing, whenever possible shall be allowed to return to previously assigned housing unit unless, in the discretion of the Warden, doing so exposes the offender to an increased risk to the offender victim's safety and security or the orderly operation of the facility." (b) The Bertie Correctional Institution PAQ states the facility's' policy requires that if the first staff responder is not a security staff member, that responder shall be required to request that the alleged victim not take any actions that could destroy physical evidence and notify security staff. Of the allegations that an inmate was sexually abused in the past 12 months the number of times a non-security staff member was the first responder was zero. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 22, section (3) First Responder, (B) states, "If the first staff responder is not a security staff member, the responder shall be required to request that the alleged victim not take any actions that could destroy physical evidence and then notify security staff." Through such reviews, the facility meets the standard requirements.
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115.65	Coordinated response
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. PREA Sexual Abuse Institutional Response Plan: Bertie Correctional Institution, not dated

	Interviews: 1. Associate Warden Interviews with the Associate Warden demonstrated that the facility's coordinated response is in Power DMS and Lieutenants and Captains each have access. Site Observation: Review of the facilities Coordinated Response Plan demonstrates clear direction to staff to ensure first responder duties are fulfilled. (a) The Bertie Correctional Institution PAQ states the facility developed a written institutional plan to coordinate actions taken in response to an incident of sexual abuse among staff first responders, medical and mental health practitioners, investigators, and facility leadership. The facility provided a PREA Sexual Abuse Institutional Response Plan: Bertie Correctional Institution. The plan components include instruction for the following facility personnel. · First Responder Duties · Medical · Notification Procedures · Investigations · PREA Compliance Manager (PCM) · PREA Support Person (PSP) · Sexual Abuse Response Team · Mental Health and Aftercare · Documents and Forms List Through such reviews, the facility meets the standard requirements.
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115.66	Preservation of ability to protect inmates from contact with abusers
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	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ Interview: 1. Associate Warden The interview with the Associate Warden demonstrated that the facility is not responsible for collective bargaining. (a) The Bertie Correctional Institution PAQ states the agency, facility, or any other governmental entity responsible for collective bargaining on the agency's behalf has not entered into or renewed any collective bargaining agreement or other agreement since August 20, 2012, or since the last PREA audit, whichever is later. Through such reviews, the facility meets the standard requirements.

115.67	Agency protection against retaliation
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 3. NCDAC Retaliation Monitoring Persons in Confinement Form, dated 1.1.2023 4. NCDAC Retaliation Monitoring – Staff Form, dated 1.1.2023 5. Post Audit: Staff Training Acknowledgments 6. Post Audit – NCDAC Memorandum, Subject: Sustainable Action Plan for PREA Standard 115.367 (c), dated 7.29.2025

Interviews:

1. Program Supervisor / PREA Support Personnel (PSP)
2. PREA Director / Agency Head

The interview with the PSP demonstrated offenders are offered PSP services before, during and after the investigation process. The PSP stated she ensures the victim is kept separated from his perpetrator, makes sure he is not housed near other perpetrators, staff are not retaliating against the victim and oversight of monitoring is happening regardless if the victim accepts or denies services. The PSP stated she documents period checks within the first seven days and every 30 days thereafter for 90 days or as long as is needed.

The interview with the PREA Director demonstrated the agency expectation is parties involved in retaliation are separated, the retaliation allegation is investigated, ongoing monitoring is in place for 90-180 days from initiation.

Site Observation:

File review demonstrated retaliation monitoring began more than one month after the sexual abuse allegation was received for three of three allegations reviewed.

Corrective Action Plan:

- Provide documented education to appropriate facility personnel on each provision of 115.67.
- Appropriate facility personnel to provide a memorandum with a sustainable action plan stating which facility position will ensure all requirements of §115.67 are met and sustained. Memorandum to be addressed to the DOJ PREA Auditor, date and author of the memorandum and standard in question.
- Upload all required information to the associated provision in the OAS.

Post audit the facility provided training records from six facility staff members demonstrating they have been trained on the requirements of §115.67.

Post audit the facility provided a memorandum from the PREA Compliance Manager addressed to the PREA Auditor stating, "Upon receipt of any sexual abuse allegation,

the facility shall initiate retaliation monitoring immediately, continuing for a minimum of 90 days, and longer if needed, to protect against any acts of retaliation. This process will be carried out as follows:

Assignment of Monitoring Responsibility

The PREA Compliance Manager (PCM) will assign a designated retaliation monitor (e.g., Case Manager, or designated staff) to the individual(s) involved in the allegation (victim, reporter, or witness).

Monitoring Period and Scope

Monitoring will continue for 90 days from the initial report. If there is evidence or reasonable suspicion that retaliation may be ongoing, the monitoring period will be extended as necessary.

Monitoring includes:

Regular status checks (weekly, bi-weekly or as needed)

Reviewing housing or program assignments

Monitoring disciplinary reports or job reassignments

Interviewing the involved party to assess safety and concerns

Ensuring any transfer or program reassignment is not retaliatory

Documentation and Timeliness

A PREA TRACKING Log will be maintained for each all cases. The PCM will:

Ensure initial documentation is completed within 72 hours of the report.

Review logs weekly for accuracy and completeness.

Require all assigned staff to submit their observations or follow-up contacts in a timely and detailed manner.

Corrective Action

If retaliation is suspected or detected, immediate protective measures will be taken.

Oversight and Compliance

The PCM will conduct monthly audits of all active retaliation monitoring cases. In addition, all monitoring documentation will be reviewed for compliance during internal PREA audits.

Confidentiality

Retaliation monitoring and related documentation shall be handled with strict confidentiality to protect all parties involved.

Conclusion

Bertie Correctional Institution is committed to ensuring the safety and well-being of all individuals who report or participate in investigations of sexual abuse. Timely and comprehensive retaliation monitoring is a critical component of our PREA compliance strategy.”

(a) The Bertie Correctional Institution PAQ states the agency has a policy to protect all inmates and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other inmates or staff. The agency designates staff the following staff positions for retaliation monitors are the primary and secondary PREA Compliance Managers.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 31, section (g)(1) -(2), state, "Retaliation: Retaliation against staff or offenders making an allegation of offender sexual abuse or sexual harassment is prohibited.

(1) Offender monitoring – see section .3406 (f)5 victim support.

(2) Staff monitoring – see section .3406 (f)6 PREA compliance manager."

(b) NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 24, section (I)(v), states, "Continue monitoring for a minimum of 90 days or beyond 90 days if the initial monitoring indicates a continuing need."

(c-d) The Bertie Correctional Institution PAQ states the facility monitors the conduct or treatment of inmates or staff who reported sexual abuse and of inmates who were reported to have suffered sexual abuse to see if there are any changes that may suggest possible retaliation by inmates or staff. The length of time that the facility monitors the conduct of treatment is 90 days. The facility acts promptly to remedy any such retaliation. The agency/facility continues such monitoring beyond 90 days if the initial monitoring indicates a continuing need.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 24, section (I)(i)(ii), state,

i. "Upon notification of a Sexual Abuse or Sexual Harassment allegation the PSP will initiate monitoring the alleged victim and offender who reported the allegation or cooperated with officials during the investigation.

ii. The PSP shall monitor retaliation against the victim and the offender who either report allegations, or cooperate with investigations, of sexual abuse or sexual harassment."

The facility provided an NCDAC Retaliation Monitoring Persons in Confinement form demonstrating retaliation monitoring is documented for offenders and periodic status checks are completed.

The facility provided an NCDAC Retaliation Monitoring – Staff form demonstrating retaliation monitoring is completed for staff victims and periodic status checks are

	completed. (e) NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 22, section (I) Monitor for Retaliation, (ii), states, “In the case of offenders, such monitoring shall also include periodic status checks.” (f) NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 24, section (I) Monitor for Retaliation, (v), states, “Termination of monitoring prior to minimum of 90 days requires: I. Allegation to be determined unfounded II. Approval by Warden” Through such reviews, the facility meets the standard requirements.
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115.68 Post-allegation protective custody	
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 Interviews: 1. Associate Warden The interview with the Associate Warden demonstrated the facility places any offender who requests protective custody in restricted housing for their safety. The facility makes an attempt to move offenders alleging sexual abuse back to regular population if the investigation has no merit; however, each are allowed to stay in restricted housing if requested. (a) The Bertie Correctional Institution PAQ states the agency has a policy prohibiting

	the placement of inmates who allege to have suffered sexual abuse in involuntary segregated housing unless an assessment of all available alternatives has been made, and a determination has been made that there is no available alternative means of separation from likely abusers. The number of inmates who alleged to have suffered sexual abuse who were held in involuntary segregated housing in the past 12 months for one to 24 hours awaiting completion of assessment was zero. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 27, section (7)(A)(5) states, "Alleged offender abuser - A determination shall be made, based upon the amount of time that has passed since the alleged incident and the possibility of evidence still existing, as to whether the alleged offender abuser, if known, should be placed in a restrictive housing cell to preserve forensic evidence. If an offender is placed in a restrictive housing cell for purposes of preserving forensic evidence, the offender shall be strip searched in accordance with the policies set forth in section F. 0100, et seq. of Prisons Policy and Procedure Manual and all possessions taken from him or her and a paper gown issued." Through such reviews, the facility meets the standard requirements.
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115.71	Criminal and administrative agency investigations
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 3. Investigation Review (3) Interviews: 1. Captain / Investigator 2. PREA Coordinator The interview with the Investigator demonstrated she begins an investigation the same day of receipt of an allegation and steps would include a preliminary

investigation to ensure the allegation meets the definition of PREA, if so, the investigator would gather statements, complete interviews, and camera footage.

The interview with the PREA Coordinator demonstrated the facility investigator stays in contact with the external criminal investigator, typically local law enforcement, who continually reports investigation information to the PREA Coordinator.

Site Observation:

Utilization of the PREA Audit – Adult Prisons & Jails Documentation Review – Investigations template demonstrated of the three sexual abuse investigations reviewed during the pre-audit phase, each investigation had information on evidence collection, interview summaries or credibility statements.

(a) Bertie Correctional Institution PAQ states the agency/facility has a policy related to criminal and administrative agency investigations.

NCDAC Prisons Policy & Procedures, Section F.3400 Offender Sexual Abuse and Sexual Harassment Policy, page 27, section (7) Investigations (A)(i) states, “Investigations into allegations of sexual abuse and sexual harassment, shall be conducted promptly, thoroughly, and objectively for all allegations, including third-party and anonymous reports.”

The facility provided three sexual abuse investigations for review. Although documentation was in place to meet provisions of this standard, corrective action plans were put into place for §115.67, §115.81 and §115.86.

(h) Bertie Correctional Institution PAQ states there have been zero allegations of conduct that appear to be criminal that was referred for prosecution, since the last audit date.

NCDAC Prisons Policy & Procedures, Section F.3400 Offender Sexual Abuse and Sexual Harassment Policy, page 31, section (C)(i), states, “Substantiated allegations of conduct that appears to be criminal shall be referred for prosecution.”

(i) Bertie Correctional Institution PAQ states the agency retains all written reports

	pertaining to administrative or criminal investigation of alleged sexual abuse or sexual harassment for as long as the alleged abuser is incarcerated or employed by the agency, plus five years. NCDAC Prisons Policy & Procedures, Section F.3400 Offender Sexual Abuse and Sexual Harassment Policy, page 33, section (J)(1), states, "Substantiated allegations of conduct that appears to be criminal shall be referred for prosecution." Through such reviews, the facility meets the standard requirements.
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115.72	Evidentiary standard for administrative investigations
	Auditor Overall Determination: Meets Standard
	Auditor Discussion Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Policy PREA Investigations DAC-PREA-300, dated 1.1.2023 Interviews: 1. Captain / Investigator The interview with the Investigator demonstrated the facility shall impose no standard higher than a preponderance of the evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated. (a) The Bertie Correctional Institution PAQ states the agency imposes a standard of a preponderance of the evidence or a lower standard of proof for determining whether allegations of sexual abuse or sexual harassment are substantiated. NCDAC Policy PREA Investigations DAC-PREA-300, page 6, section G., states, "Investigators shall impose no standard higher than a preponderance of evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated."

	Through such reviews, the facility meets the standard requirements.
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115.73	Reporting to inmates
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 3. NCDAC PREA Support Services Status Notification, dated 1.1.2023 Interviews: 1. Captain / Investigator The interview with the Investigator demonstrated notification requirements to victims are given verbally and in writing by the PREA Support Person assigned to the investigation. On Site Observation: Of the three sexual abuse investigations reviewed, each had a notification of the outcome of the investigation. (a) The Bertie Correctional Institution PAQ states the agency has a policy requiring that any inmate who alleges that he or she suffered sexual abuse in an agency facility is informed, verbally or in writing, as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded following an investigation by the agency. The number of criminal and/or administrative investigations of alleged inmate sexual abuse that were completed by the agency/facility in the past 12 months was three. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 24-25, section J. (i), states, "Inform victim of disposition of PREA Investigation: (i) Following an investigation into an offender's

allegation that he or she suffered sexual abuse in a facility, the PSP shall inform the offender as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded. Notification shall be documented on Form OPA-I30 Support Services.”

(b) The Bertie Correctional Institution PAQ states if an outside entity conducts such investigations, the agency requests the relevant information from the investigative entity to inform the inmate as to the outcome of the investigation. The number of investigations of alleged inmate sexual abuse in the facility that were completed by an outside agency in the past 12 months was zero.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 25, section (J)(ii), states, “If the NCDAC did not conduct the investigation, the PSP shall request, through the chain of command, the relevant information from the investigative agency in order to inform the offender.”

(c) The Bertie Correctional Institution PAQ states following an inmate’s allegation that a staff member has committed sexual abuse against the inmate, the agency/ facility subsequently informs the Inmate (unless the agency has determined that the allegation is unfounded) whenever:

- The staff member is no longer posted within the Inmate’s unit;
- The staff member is no longer employed at the facility;
- The agency learns that the staff member has been indicted on a charge related to sexual abuse within the facility; or
- The agency learns that the staff member has been convicted on a charge related to sexual abuse within the facility.”

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 25, section J. (iii), states, “Following an offender’s allegation that a staff member has committed sexual abuse against the offender, the PSP shall subsequently inform the offender (unless the allegation is unfounded) whenever:

- The staff member is no longer posted within the offender’s unit;
- The staff member is no longer employed at the facility;
- The agency learns that the staff member has been indicted on a charge related to sexual abuse within the facility; or

- The agency learns that the staff member has been convicted on a charge related to sexual abuse within the facility. Notification shall be documented on Form OPA-I30A PREA Support Person Services.”

(d) The Bertie Correctional Institution PAQ states following an inmate’s allegation that he or she has been sexually abused by another inmate in an agency facility, the agency subsequently informs the alleged victim whenever: the agency learns that the alleged abuser has been indicted on a charge related to sexual abuse within the facility; or the agency learns that the alleged abuser has been convicted on a charge related to sexual abuse within the facility. Policy compliance can be found in provision (c) of this standard.

(e) The Bertie Correctional Institution PAQ states the agency has a policy that all notifications to inmates described under this standard are documented. In the past 12 months, there have been three notifications to an inmate, pursuant to this standard.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 26, section (J) (v), states, “All such notifications or attempted notifications shall be documented.”

The facility provided a NCDAC PREA Support Services Status Notification Form. The form documents:

Section I: Aggressor (Staff)

- The staff member is temporarily reassigned away from the alleged victim’s housing until
- The staff member is no longer posted within the alleged victims housing unit.
- The staff member is no longer employed at the facility.
- The agency has learned that the staff member has been indicted on a charge related to sexual abuse within the facility.
- The agency has learned that the staff member has been convicted on a charge related to sexual abuse within the facility.

Section II: Aggressor (Person Who is Confined)

- The alleged abuser has been temporarily reassigned away from the alleged victim's housing unit.

	· The Agency has learned that the alleged abuser has been indicted on a charge related to sexual abuse within the facility. · The Agency has learned that the alleged abuser has been convicted on a charge related to sexual abuse with the facility Section III: Notification Verification The notification is meant to be signed and dated by the alleged victim and the PREA Support Person. (e) NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 25, section (J)(vi), states, ““Obligation to report shall terminate if the offender is released from NCDAC custody.” Through such reviews the facility meets the standard requirements.
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115.76	Disciplinary sanctions for staff
	Auditor Overall Determination: Meets Standard
	Auditor Discussion Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 Interviews: 1. Associate Warden Interview with the Associate Warden demonstrated employees would be reassigned to ensure no offender contact, based on the seriousness of the allegation disciplinary action would be through legal counsel, notifications would be made to Criminal Justice Standards and any separate likening agencies.

Site Observation:

In the last 12 months, the facility had zero staff who were disciplined for violation of an agency sexual abuse or sexual harassment policy.

(a) The Bertie Correctional Institution PAQ states staff is subject to disciplinary sanctions up to and including termination for violating agency sexual abuse or sexual harassment policies.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 31, section (h)(2)(A), states, "Staff shall be subject to disciplinary sanctions up to and including termination for violating agency sexual abuse or sexual harassment policies."

(b) The Bertie Correctional Institution PAQ states in the last 12 months, there has been zero staff from the facility that have violated agency sexual abuse or sexual harassment policies.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 32, section (h)(2)(B), states, "Termination shall be the presumptive disciplinary sanction for staff who have engaged in sexual abuse."

(c) The Bertie Correctional Institution PAQ states disciplinary sanctions for violations of agency policies relating to sexual abuse or sexual harassment (other than actually engaging in sexual abuse) are 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. In the past 12 months, the number of staff from the facility who have been disciplined, short of termination, for violation of agency sexual abuse or sexual harassment policies (other than engaging in sexual abuse) is zero.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 32, section (h)(2)(C), states, "Disciplinary sanctions for violations of agency policies relating to sexual abuse or sexual harassment (other than actually engaging in sexual abuse) shall be 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."

	(d) The Bertie Correctional Institution PAQ states 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, are reported to law enforcement agencies, unless the activity was clearly not criminal, and to any relevant licensing bodies. In the past 12 months, zero staff have been terminated for sexual abuse or harassment. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 32, section (h)(2)(D), states, "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, shall be reported to law enforcement agencies, unless the activity was clearly not criminal, and to any relevant licensing bodies." Through such reviews, the facility meets the standard requirements.
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115.77	Corrective action for contractors and volunteers
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 Interviews: 1. Associate Warden The interview with the Associate Warden demonstrated any volunteer or contractor involved in a substantiated sexual abuse or sexual harassment investigation would be removed from having contact, if a crime had been committed law enforcement would be contacted and the person would be flagged from being able to reapply and any applicable licensing agencies would be notified. Site Observation:

	During the last audit cycle, the facility did not have any volunteers or contractors subject to disciplinary action due to violating sexual abuse or sexual harassment policies. (a) The Bertie Correctional Institution PAQ states 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. Agency policy requires that any contractor or volunteer who engages in sexual abuse be prohibited from contact with Inmates. In the past 12 months, there have been zero contractors or volunteers reported to law enforcement or relevant licensing bodies for engaging in sexual abuse of inmates. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 32, section (3)(A), states, “Any contractor or volunteer who engages in sexual abuse shall be immediately prohibited from contact with offenders and shall be reported to law enforcement agencies, unless the activity was clearly not criminal, and to relevant licensing bodies. (b) The Bertie Correctional Institution PAQ states the facility takes appropriate remedial measures and considers whether to prohibit further contact with inmates in the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor or volunteer. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 32, section (3) (B-C), states, i. “Appropriate remedial measures shall be considered whether to prohibit further contact with offenders in the case of any other violation of sexual abuse or sexual harassment policies. ii. If an allegation of sexual abuse is which a volunteer or contracting agent is the alleged abuser is substantiated the volunteer or contracting agent shall be terminated from the relationship with NCDAC.” Through such reviews, the facility meets the standard requirements.
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115.78	Disciplinary sanctions for inmates
	Auditor Overall Determination: Meets Standard

Auditor Discussion

Document Review:

1. Bertie Correctional Institution PAQ
2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022
3. NCDAC Policy & Procedure .0200 Offender Disciplinary Procedures, dated 1.19.2022

Interviews:

1. Associate Warden

The interview with the Associate Warden demonstrated offender aggressors would be reported to law enforcement for possible criminal charges, would be transferred to secure placements closer to court and Central Monitoring would be notified so they could never be housed in the same facility as their victim.

Site Observation:

During the last audit cycle, the facility had zero offenders subject to disciplinary action due to violating sexual abuse or sexual harassment policies.

(a) The Bertie Correctional Institution PAQ states inmates are subject to disciplinary sanctions only pursuant to a formal disciplinary process following a criminal finding of guilt for inmate-on-inmate sexual abuse. Inmates are subject to disciplinary sanctions only pursuant to a formal disciplinary process following a criminal finding of guilt for inmate-on-inmate sexual abuse. In the past 12 months there have been zero administrative findings of inmate-on-inmate sexual abuse.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 32, section (4)(A), states, "Shall be subject to disciplinary sanctions pursuant to formal disciplinary process following an administrative finding that the offender engaged in offender-on-offender sexual abuse or following a criminal finding of guilt for offender-on-offender sexual abuse."

(b) NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 32, section (4)(B), states, "Sanctions shall be commensurate with the nature and circumstances of the abuse committed, the

offender's disciplinary history, and the sanctions imposed for comparable offenses by other offenders with similar histories."

(c) NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 31, section (4)(C), states, "The disciplinary process shall consider whether an offender's mental disabilities or mental illness contributed to his or her behavior when determining what type of sanction, if any, should be imposed."

(d) The Bertie Correctional Institution PAQ states the facility offers therapy, counseling, or other interventions designed to address and correct the underlying reasons or motivations for abuse. The facility offers therapy, counseling, or other interventions designed to address and correct the underlying reasons or motivations for abuse, the facility considers whether to require the offending inmate to participate in such interventions as a condition of access to programming or other benefits.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 33, section (4) (D), states, "A mental health evaluation shall be conducted after a substantiated incident and the offender shall be offered treatment when deemed appropriate by mental health practitioners. If the facility offers therapy, counseling, or other interventions designed to address and correct underlying reasons or motivations for the abuse, the facility shall consider whether to require the offending offender to participate in such interventions as a condition of access to programming or other benefits."

(e) The Bertie Correctional Institution PAQ states the agency disciplines inmates for sexual contact with staff only upon finding that the staff member did not consent to such contact.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 33, section (4)(F), states, "The agency may not discipline an offender victim for sexual contact with staff unless a finding that the staff member did not consent to such contact."

(f) The Bertie Correctional Institution PAQ states the agency prohibits disciplinary action for a report of sexual abuse made in good faith based upon a reasonable belief that the alleged conduct occurred, even if an investigation does not establish evidence sufficient to substantiate the allegation.

	NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 33, section (4)(E), states, “For the purpose of disciplinary action, a report of sexual abuse made in good faith based upon a reasonable belief that the alleged conduct occurred shall not constitute falsely reporting an incident or lying, even if an investigation does not establish evidence sufficient to substantiate the allegation.” (g) The Bertie Correctional Institution PAQ states the agency prohibits all sexual activity between inmates. If the agency prohibits all sexual activity between inmates and disciplines inmates for such activity, the agency deems such activity to constitute sexual abuse only if it determines that the activity is coerced. NCDAC Policy & Procedure .0200 Offender Disciplinary Procedures, page 3, section (A25) states, “Disciplinary offenses are divided into three (3) classes, Class A through Class C. Class A offenses are the most serious and Class C offenses are the least serious (5-ACI-3C-01).” “Commit, solicit or incite others to commit any sexual act or indecently expose oneself, or touch the sexual or other intimate parts of oneself or another person for the purpose of sexual gratification.” Through such reviews, the facility meets the standard requirements.
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115.81	Medical and mental health screenings; history of sexual abuse
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 3. PREA MH Referrals Report Interviews: 1. Random Offenders

2. Targeted Offenders

3. Captain

4. Nurse Supervisor

5. Licensed Mental Health Professional

Interviews with 30 offenders demonstrated each were offered mental health services during the intake process regardless as to if they had a vulnerable or aggressive history.

The interview with the Captain demonstrated she immediately contacts mental health and medical department staff when an offender flags for victimization or aggression; however, all offenders are offered mental health services during the intake process.

Interviews with medical and mental health staff demonstrated disclosure reports are automatically flagged in the HERO system and or forwarded to them through staff conducting risk assessments. Medical staff stated they would see offenders, for any disclosure, 24 hours a day, seven days per week. Mental health staff stated they would see offenders immediately upon receipt of the disclosure, if during working hours, otherwise they would see the offender upon return or in at least 14 days.

Pre-Audit Observation:

Review of investigations demonstrated of the three sexual abuse investigations reviewed; each offender was offered medical or mental health services through the PREA Support Persons.

(a, c) The Bertie Correctional Institution PAQ states all Inmates at this facility who have disclosed any prior sexual victimization during a screening pursuant to §115.41 are offered a follow-up meeting with a medical or mental health practitioner.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 13, section (2)(A), states, "If the screening for risk of victimization and abusiveness indicates that a prison offender has experienced prior sexual victimization, whether it occurred in an institutional setting or in the community, staff shall ensure that the offender is offered a follow-up meeting with a medical or mental health practitioner within 14 days of the intake screening."

The facility provided a PREA MH Referrals Report demonstrating the following information is documented for each referral.

- OPUS #
- Inmate Name
- Current Facility
- Bed/Cell
- Case Manager
- Admit Date
- Screen Date
- MH Encounter
- Days Between

(b) The Bertie Correctional Institution PAQ states all Inmates who have previously perpetrated sexual abuse, as indicated during the screening pursuant to § 115.41, are offered a follow-up meeting with a mental health practitioner.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 14, section (2) (B), states, "If the screening for risk of victimization and abusiveness indicates that a prison offender has previously perpetrated sexual abuse, whether it occurred in an institutional setting or in the community, staff shall ensure that the offender is offered a follow-up meeting with a mental health practitioner within 14 days of the intake screening."

(d) The Bertie Correctional Institution PAQ states, Information related to sexual victimization or abusiveness that occurred in an institutional setting is strictly limited to medical and mental health practitioners.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 14, section (2)(C), states, "Any information related to sexual victimization or abusiveness that occurred in an institutional setting shall be strictly limited to medical and mental health practitioners and other staff, as necessary, to inform treatment plans and security and management decisions, including housing, bed, work, education, and program assignments, or as otherwise required by Federal, State, or local law."

	(e) The Bertie Correctional Institution PAQ states medical and mental health practitioners obtain informed consent from inmates before reporting information about prior sexual victimization that did not occur in an institution setting unless the inmate is under the age of 18. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 14, section (2)(D), states, "Medical and mental health practitioners shall obtain informed consent from offenders before reporting information about prior sexual victimization that did not occur in an institutional setting, unless the offender is under the age of 18." During the pre-audit phase the PREA Compliance Manager offered the following explanation. "Any notification of sexual abuse would require mandated reporting. The report would be made to county DSS office Adult Protective Services section. The report would be recorded in HERO by medical/mental health staff at the facility. HERO is only accessible to medical and mental health staff." Through such reviews, the facility meets the standard requirements.
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115.82	Access to emergency medical and mental health services
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 3. NCDAC Health Services Policy & Procedures Manual Clinical Practice Guidelines CPG-18, dated 2.2014 Interviews: 1. Nurse Supervisor

2. Licensed Mental Health Professional

Interviews with medical and mental health staff demonstrated each would provide emergency access to sexual abuse victims upon receipt of an allegation of sexual abuse.

Site Observation:

In the past 12 months the facility has had zero offenders who required emergency services due to an incident of sexual abuse.

(a) The Bertie Correctional Institution PAQ states Inmate victims of sexual abuse receive timely, unimpeded access to emergency medical treatment and crisis intervention services. The nature and scope of such services are determined by medical and mental health practitioners according to their professional judgment. Medical and mental health staff maintain secondary materials (e.g., form, log) documenting the timeliness of emergency medical treatment and crisis intervention services that were provided; the appropriate response by non-health staff in the event health staff are not present at the time the incident is reported; and the provision of appropriate and timely information and services concerning contraception and sexually transmitted infection prophylaxis.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 20, section (4) (a-b), state, “

A. “If an alleged act of sexual abuse has occurred and there may be forensic medical evidence, the offender may need medical assistance, or other circumstances dictate, arrangements shall be promptly made to have the alleged offender-victim examined by medical services.

B. Medical Services will follow medical protocol, which includes provisions for examination, documentation and transport to the local emergency department when appropriate, where the following will occur: collection of forensic evidence, testing for sexually transmitted diseases, counseling, and prophylactic treatment. Medical Services will ensure that the offender receives medical follow-up and is offered a referral for mental health services.”

(b) The Bertie Correctional Institution PAQ states inmate if no qualified medical or mental health practitioners are on duty at the time a report of recent abuse is made, security staff first responders shall take preliminary steps to protect the victim pursuant to § 115.62 and shall immediately notify the appropriate medical and mental health practitioners.

	NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 27, section (7)(a)(iv), states, “If an alleged act of sexual abuse or sexual harassment is reported or discovered, an immediate preliminary review shall be conducted to determine if the incident meets the standards of PREA.” (c) The Bertie Correctional Institution PAQ states inmate victims of sexual abuse while incarcerated are 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. NCDAC Health Services Policy & Procedures Manual Clinical Practice Guidelines CPG-18, page 3-4, section A., states, “He/She will be counseled by the facility provider/nurse relative to risk for possible exposure to sexually transmitted diseases. For sexual abuse reported within 72 hours, consideration of post-exposure prophylaxes (PEP) for HIV, chlamydia, gonorrhea, trichomonas, and bacterial vaginosis will be based on current CDC guidelines.” (d) The Bertie Correctional Institution PAQ states treatment services are provided to every victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident. NCDAC Health Services Policy & Procedures Manual Clinical Practice Guidelines CPG-18, page 5, section VI., states, “All care for abuse will be provided at no cost.” Through such reviews, the facility meets the standard requirements.
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115.83	Ongoing medical and mental health care for sexual abuse victims and abusers
	Auditor Overall Determination: Exceeds Standard
	Auditor Discussion
	Document Review:

1. Bertie Correctional Institution PAQ

2. NCDAC Health Services Policy & Procedure, Section Clinical Practice Guidelines CPG-18, dated 2.2014

Interviews:

1. Nurse Supervisor

2. Licensed Mental Health Professional

Interviews with medical and mental health staff demonstrated a continuum of medical and mental health treatment would continue directly upon receiving allegations of sexual abuse and upon a victims return from a forensic exam.

On Site Observation:

The facility has had one offender who received medical and mental health care after a report of sexual abuse. The offender was evaluated the day of receipt of the allegation.

(a-b) The Bertie Correctional Institution PAQ states the facility offers medical and mental health evaluation and, as appropriate, treatment to all Inmates who have been victimized by sexual abuse in any prison, jail, lockup, or juvenile facility.

NCDAC Health Services Policy & Procedure, Section Clinical Practice Guidelines CPG-18, page 1, section B. 2, states, "The nurse's exam will be documented in the medical record using the DC-387D "Use of Force / Trauma Assessment Form;" and DC-387 "Chronological Record of Health Care Inpatient / Outpatient Notes" if additional space is needed."

(c) Per NCDAC Health Services Policy & Procedure Manual Policy CPG-18, the facility provides victims with medical and mental health services consistent with the community level of care.

(d) This provision is not applicable as the Bertie Correctional Institution does not house females.

(e) This provision is not applicable as the Bertie Correctional Institution does not house females.

(f) The Bertie Correctional Institution PAQ states inmate victims of sexual abuse while incarcerated are offered tests for sexually transmitted infections as medically appropriate.

NCDAC Health Services Policy & Procedure Manual Policy CPG-18, page 2, section H. 2, states, "For sexual abuse reported within 72 hours, consideration of post-exposure prophylaxis (PEP) for HIV, chlamydia, gonorrhea trichomonas and bacterial vaginosis, will be based on current CDC guidelines."

(g) The Bertie Correctional Institution PAQ states treatment services are provided to the victim without financial cost and regardless of whether the victim names the abuser or cooperates with any investigation arising out of the incident.

NCDAC Health Services Policy & Procedures Manual Clinical Practice Guidelines CPG-18, page 5, section VI, states, "All care for abuse will be provided at no cost."

(h) The Bertie Correctional Institution PAQ states they attempt to conduct a mental health evaluation of all known inmate-on-inmate abusers within 60 days of learning of such abuse history and offers treatment when deemed appropriate by mental health practitioners.

NCDAC Health Services Policy & Procedure, Section Clinical Practice Guidelines CPG-18, page 4, section 5. F., states, "Once an investigation has been completed and an inmate has been determined to be an inmate-on-inmate abuser, within 60 days, a mental health clinician will attempt to conduct an evaluation and offer treatment when deemed appropriate.

Through such reviews of medical and mental health evaluating sexual abuse victims and perpetrators the day sexual abuse allegations are received; the facility exceeds the standard requirements.

	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 3. NCDAC Prison Rape Elimination Act (PREA) Post Incident Review (PIR), dated 1.1.2023 4. Post Audit: Signed Sexual Abuse Incident Review Team Training Email Communication, dated 6.20.2025 5. Post Audit: NCDAC Memorandum, RE: 115.86, dated 7.29.2025 Interviews: 1. Associate Warden The interview with the Associate Warden demonstrated the incident review team is comprised of the Warden, Associate Warden, PREA Compliance Manager and any other discipline that may have knowledge of the investigation. The Associate Warden stated the team ensures that all necessary documents are completed accurately, statements are included, housing assignments and group dynamics are reviewed. Site Observation: Of the three investigations reviewed, one sexual abuse incident review was not with the investigation, and one was three months late. In addition, discussions with the specialized staff demonstrated nine more investigations need to be reviewed due to them not being uploaded during the preaudit phase and additional issues may or may not exist. Corrective Action Plan: · Provide documented education to appropriate facility personal on each provision of 115.86 · Appropriate facility personnel to provide a memorandum with a sustainable action plan stating which facility position will ensure all requirements of §115.86 are met and sustained. Memorandum to be addressed to the DOJ PREA Auditor, date and author of the memorandum and standard in question.

- Upload all required information to the associated provision in the OAS.

Post audit the facility provided an email sent to and signed by applicable facility personnel demonstrating each have been educated on the corrective action plan and step to be followed during the sexual abuse review team process.

Post audit the facility provided a NCDAC memorandum from the PREA Compliance Manager addressed to the PREA Auditor with the following sustainable action plan. “In compliance with PREA Standard §115.86, this memorandum outlines the policy and procedures for conducting Sexual Abuse Incident Reviews (SAIR) following an allegation of sexual abuse that has been substantiated or unsubstantiated and how the PREA Compliance Manager will ensure the timely documentation and completion of the required report.

Incident Review Requirements

In accordance with §115.86(a-e), a Sexual Abuse Incident Review must be conducted:

Within 30 days of the conclusion of the investigation, whether completed internally or by an outside agency (e.g., law enforcement or internal affairs).

For substantiated and unsubstantiated allegations. (Reviews are not required for unfounded allegations.)

Review Team Composition

The Incident Review Team will include, at a minimum:

PREA Compliance Manager (Chair)

Facility Head or Designee

Medical or Mental Health Staff Member

Investigator (if applicable)

Responsibilities and Documentation

Scheduling and Notification

Upon conclusion of an applicable investigation, the PREA Compliance Manager will initiate the review process and schedule a meeting within 7 days.

All members will receive notice and a summary of the case materials in advance.

Review Meeting and Discussion Points

During the SAIR, the team will:

Assess whether the allegation suggests the need for policy or practice changes.

Examine the motivations behind the incident (e.g., gender identity, vulnerability, housing placement).

Review whether the area where the incident occurred allows for adequate monitoring.

Evaluate staffing levels and video surveillance coverage.

Recommend any corrective actions or preventive measures.

Report Completion

The PREA Compliance Manager is responsible for ensuring the SAIR Report is completed and documented within 5 business days of the review meeting.

The report will include a detailed summary of findings, recommendations, and documentation of any corrective actions taken or planned.

The final report will be signed by all team members and retained in accordance with PREA documentation standards.

Oversight and Accountability

The PCM will maintain a PREA tracking Log to track the timeliness and completion of all SAIRs.

The Facility Head will be provided with a monthly update on open or overdue SAIRs.

Conclusion

Timely and thorough sexual abuse incident reviews are essential to improving safety and preventing future incidents. The PREA Compliance Manager is responsible for ensuring that all required reviews are conducted within the mandated time frame, with all documentation complete and retained for auditing and compliance purposes.”

(a) The Bertie Correctional Institution PAQ states the facility conducts a sexual abuse incident review at the conclusion of every criminal or administrative sexual abuse investigation, unless the allegation has been determined to be unfounded. In the past 12 months there has been three investigations of alleged sexual abuse.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 26, section (B)(i), states, “A PIR shall be completed for all substantiated and unsubstantiated allegations of sexual abuse and documented on Form OPA-I10 Post Incident Review (PIR).”

(b) The Bertie Correctional Institution PAQ states sexual abuse incident reviews are ordinarily conducted within 30 days of concluding the criminal or administrative investigation. In the past 12 months, the number of criminal and/or administrative investigations of alleged sexual abuse completed at the facility were followed by a sexual abuse incident review within 30 days, excluding only “unfounded” incidents was three.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 26, section (B)(iv), states, “The PIR shall be completed by the facility within 30 days of the conclusion of the sexual abuse investigation.”

(c) The Bertie Correctional Institution PAQ states the sexual abuse incident review team includes upper-level management officials and allows for input from line supervisors, investigators, and medical or mental health practitioners.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 26, section B. (ii), states, “The PIR is completed with input from upper-level management officials, investigators, and medical or mental health practitioners.”

(d) The Bertie Correctional Institution PAQ states the facility prepares a report of its findings from sexual abuse incident reviews, including but not necessarily limited to determinations made pursuant to paragraphs (d)(1) -(d)(5) of this section, and any recommendations for improvement and submits such report to the facility head and PREA Compliance Manager.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 26-27, section (B)(iii), states, “The review team shall consider whether the allegation or investigation indicates a need to change policy or practice to better prevent, detect, or respond to sexual abuse; consider whether the incident or allegation was motivated by race; ethnicity; gender identity; lesbian, gay, bisexual, transgender, or intersex identification, status or perceived status; or gang affiliation; or motivated or otherwise caused by other group dynamics in the facility; examine the area in the facility where the incident allegedly occurred to assess whether physical barriers in the area may enable abuse; assess the adequacy of staffing levels in that area during the different shifts; and assess whether monitoring technology should be deployed or augmented to supplement supervision by staff and prepare a report of its findings pursuant to standards, and any recommendations for improvement. Submit such reports to the Warden and PREA compliance manager.”

The facility provided a NCDAC Prison Rape Elimination Act (PREA) Post Incident Review (PIR). The PIR documents the following information.

Section I: Post Incident Review

Facility / Incident Date / Incident #/ Investigation Completion Date / Validity- (Outcome)

1. Did the allegation or investigation indicate a need to change policy or practice to better prevent, detect, or respond to sexual abuse?
2. Was the incident or allegation motivated by the following? Race/Gender Identity/

	Ethnicity/Gang Affiliation/Actual Status/Perceived Status/Lesbian/Bisexual/Transgender/Intersex/Other group dynamics. 3. During the assessment of the area where the incident allegedly occurred, were there any physical barriers that may have enabled sexual abuse? 4. Are staffing levels in that area adequate during different shifts? 5. Based upon assessment, should additional monitoring technology be deployed or augmented to supplement supervision by staff? 6. Additional comments and/or actions taken? 7. Sexual Abuse Review Team Members included: Printed Name / Position or Job Classification Section I – Completed by: Printed name / Signature / Staff ID/Position / Date Section II – Review and Approval: Printed name / Signature / Staff ID/Position / Date Section III – Final Review and Approval: Printed name / Signature / Staff ID/Position / Date (e) The Bertie Correctional Institution PAQ states, the facility implements recommendations for improvement or documents its reasons for not doing so. Policy compliance can be found in provision (d) of this standard. Through such reviews, the facility meets the standard requirements.
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115.87	Data collection
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022

Interviews:

1. PREA Director / Head of Agency

The interview with the PREA Director demonstrated the agency reviews all incident reports of sexual harassment and sexual abuse, staff and inmates involved in allegations, compile year end reports, and investigations referred for criminal prosecution and look for common trends. The agency focuses on areas to address in the past year and identifies areas needing corrective action.

(a) The Bertie Correctional Institution PAQ states the agency collects accurate, uniform data for every allegation of sexual abuse at facilities under its direct control using a standardized instrument and set of definitions.

NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 33, section (j) (1-3), state,

(1) "All written investigation reports will be retained as long as the alleged abuser is incarcerated or employed by the agency, plus five years; or sexual abuse data collected for at least 10 years after the date of the initial collection unless Federal, State, or local law requires otherwise, whichever is greater (5-ACI-3D-16).

(2) Accurate, uniform data for every allegation of sexual abuse shall be documented in OPUS by all facilities.

(3) Ensure that data is securely retained."

(b) The Bertie Correctional Institution PAQ states the agency aggregates incident-based sexual abuse data at least annually.

(c) The Bertie Correctional Institution PAQ states the standardized instrument includes, at a minimum, the data necessary to answer all questions from the most recent version of the Survey of Sexual Violence (SSV) conducted by the Department of Justice.

(d) The Bertie Correctional Institution PAQ states the agency maintains, reviews, and collects data as needed from all available incident-based documents, including reports, investigation files, and sexual abuse incident reviews. Policy compliance can be found in provision (a) of this standard.

	(e) The Bertie Correctional Institution PAQ states the agency does obtain incident-based and aggregated data from every private facility with which it contracts for the confinement of its inmates as the agency does not have private contracts. (f) The Bertie Correctional Institution PAQ states the Department of Justice has not requested agency data for the previous calendar year. Through such reviews, the facility meets the standard requirements.
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115.88	Data review for corrective action
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 3. NCDAC Prison Rape Elimination Act (PREA) of 2003 Sexual Abuse Annual Report 2022-2023 Interviews: 1. PREA Coordinator 2. PREA Director / Agency Head The interview with the PREA Coordinator demonstrated PREA cases are reviewed for the calendar year and questions to the Survey of Sexual Victimization are answered for all applicable facilities. Depending on the data reviewed, corrective action implementation is reviewed during post incident review and facility follow up meetings. The interview with the PREA Director demonstrated Quality Assurance and Quality Improvement is learned and implemented from post incident review to include any technical and staffing needs after discussions with facility and agency personnel.

(a) The Bertie Correctional Institution PAQ states the agency reviews data collected and aggregated pursuant to §115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, and training, including:

- Identifying problem areas;
- Taking corrective action on an ongoing basis; and
- Preparing an annual report of its findings from its data review and any corrective actions for each facility, as well as the agency as a whole.

The facility provided the NCDAC Prison Rape Elimination Act (PREA) of 2003 Sexual Abuse Annual Report 2022-2023. The report demonstrates the following information is documented in the annual report.

- Introduction
- Message from the Secretary
- Overview: North Carolina Department of Adult Correction
- NCDAC Strategic Plan in the PREA Program
- Departmental Accomplishments
- Definitions Related to Sexual Abuse and Sexual Harassment
- Sexual Abuse
- Sexual Harassment
- Comparative Data
- 2023: The Department's Year in Review
- 2023 Substantiated Sexual Abuse Cases with Corrective Actions
- 2022: The Department's Year in Review
- 2022 Substantiated Sexual Abuse Cases with Corrective Actions
- Comparison Charts for Years 2022-2023
- Data Overview
- Victim Data Overview
- Audit Findings
- Conclusion

	· Agency Information (b) The Bertie Correctional Institution PAQ states the annual report includes a comparison of the current year's data and corrective actions to those from prior years. The annual report provides an assessment of the agency's progress in addressing sexual abuse. (c) The Bertie Correctional Institution PAQ states the agency makes its annual report readily available to the public, at least annually, through its website. Annual reports are approved by the agency head. Policy compliance can be found in provision (a) of this standard. Annual reports from 2015 through 2022 are available at https://www.dac.nc.gov/divisions-and-sections/administrative/prison-rape-elimination-act-prea-office. (d) The Bertie Correctional Institution PAQ states when the agency redacts material from an annual report for publication, the redactions are limited to specific materials where publication would present a clear and specific threat to the safety and security of the facility. The agency indicates the nature of material redacted. Through such reviews, the facility meets the standard requirements.
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115.89	Data storage, publication, and destruction
	Auditor Overall Determination: Meets Standard
	Auditor Discussion Document Review: 1. Bertie Correctional Institution PAQ 2. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, dated 6.9.2022 (a) The Bertie Correctional Institution PAQ states the agency ensures that incident-based and aggregate data are securely retained.

	NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 33, section (j) (1), states, “All written investigation reports will be retained as long as the alleged abuser is incarcerated or employed by the agency, plus five years; or sexual abuse data collected for at least 10 years after the date of the initial collection unless Federal, State, or local law requires otherwise, whichever is greater.” (b) The Bertie Correctional Institution PAQ states agency policy requires that aggregated sexual abuse data from facilities under its direct control and private facilities with which it contracts be made readily available to the public at least annually through its website. NCDAC Prisons Policy & Procedures, Section F. 3400 Offender Sexual Abuse and Sexual Harassment Policy, page 32, section (j) Record Retention and Data Collection, (2)(D), states, “The agency also shall obtain incident-based and aggregated data from every private facility with which it contracts for the confinement of its offenders.” (c-d) The Bertie Correctional Institution PAQ states before making aggregated sexual abuse data publicly available, the agency removes all personal identifiers. The agency maintains sexual abuse data collected pursuant to §115.87 for at least 10 years after the date of initial collection, unless federal, state, or local law requires otherwise. Policy compliance can be found in provision (a) of this standard. Through such reviews, the facility meets the standard requirements.
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115.401	Frequency and scope of audits
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	(a) During the prior three-year audit period, the agency ensured that each facility operated was audited, once. (b) This is the fourth audit cycle for Bertie Correctional Institution and the third year of the fourth audit cycle.

	(h) The Auditor was granted complete access to, and the ability to observe, all areas of the facility. (i) The Auditor was permitted to request and receive copies of any relevant documents (including electronically stored information). (m) The Auditor was permitted to conduct private interviews with residents. (n) Residents were permitted to send confidential information or correspondence to the Auditor in the same manner as if they were communicating with legal counsel. Through such reviews, the facility meets the standard requirements.
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115.403	Audit contents and findings
	Auditor Overall Determination: Meets Standard
	Auditor Discussion
	(b) The agency has posted the current 2022 PREA audit report on their website. Through such reviews, the facility meets the standard requirements.

Appendix: Provision Findings		
115.11 (a)	Zero tolerance of sexual abuse and sexual harassment; PREA coordinator	
	Does the agency have a written policy mandating zero tolerance toward all forms of sexual abuse and sexual harassment?	yes
	Does the written policy outline the agency's approach to preventing, detecting, and responding to sexual abuse and sexual harassment?	yes
115.11 (b)	Zero tolerance of sexual abuse and sexual harassment; PREA coordinator	
	Has the agency employed or designated an agency-wide PREA Coordinator?	yes
	Is the PREA Coordinator position in the upper-level of the agency hierarchy?	yes
	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
115.11 (c)	Zero tolerance of sexual abuse and sexual harassment; PREA coordinator	
	If this agency operates more than one facility, has each facility designated a PREA compliance manager? (N/A if agency operates only one facility.)	yes
	Does the PREA compliance manager have sufficient time and authority to coordinate the facility's efforts to comply with the PREA standards? (N/A if agency operates only one facility.)	yes
115.12 (a)	Contracting with other entities for the confinement of inmates	
	If this agency is public and it contracts for the confinement of its inmates with private agencies or other entities including other government agencies, has the agency included the entity's obligation to comply with the PREA standards in any new contract or contract renewal signed on or after August 20, 2012? (N/A if the agency does not contract with private agencies or other entities for the confinement of inmates.)	yes
115.12 (b)	Contracting with other entities for the confinement of inmates	
	Does any new contract or contract renewal signed on or after August 20, 2012 provide for agency contract monitoring to ensure	yes

	that the contractor is complying with the PREA standards? (N/A if the agency does not contract with private agencies or other entities for the confinement of inmates.)	
115.13 (a)	Supervision and monitoring	
	Does the facility have a documented staffing plan that provides for adequate levels of staffing and, where applicable, video monitoring, to protect inmates against sexual abuse?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Generally accepted detention and correctional practices?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any judicial findings of inadequacy?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any findings of inadequacy from Federal investigative agencies?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any findings of inadequacy from internal or external oversight bodies?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: All components of the facility's physical plant (including "blind-spots" or areas where staff or inmates may be isolated)?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The composition of the inmate population?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The number and placement of supervisory staff?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The institution programs occurring on a particular shift?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into	yes

	consideration: Any applicable State or local laws, regulations, or standards?	
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: The prevalence of substantiated and unsubstantiated incidents of sexual abuse?	yes
	In calculating adequate staffing levels and determining the need for video monitoring, does the staffing plan take into consideration: Any other relevant factors?	yes
115.13 (b)	Supervision and monitoring	
	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
115.13 (c)	Supervision and monitoring	
	In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The staffing plan established pursuant to paragraph (a) of this section?	yes
	In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The facility's deployment of video monitoring systems and other monitoring technologies?	yes
	In the past 12 months, has the facility, in consultation with the agency PREA Coordinator, assessed, determined, and documented whether adjustments are needed to: The resources the facility has available to commit to ensure adherence to the staffing plan?	yes
115.13 (d)	Supervision and monitoring	
	Has the facility/agency implemented a policy and practice of having intermediate-level or higher-level supervisors conduct and document unannounced rounds to identify and deter staff sexual abuse and sexual harassment?	yes
	Is this policy and practice implemented for night shifts as well as day shifts?	yes
	Does the facility/agency have a policy prohibiting staff from alerting other staff members that these supervisory rounds are occurring, unless such announcement is related to the legitimate operational functions of the facility?	yes

115.14 (a)	Youthful inmates	
	Does the facility place all youthful inmates in housing units that separate them from sight, sound, and physical contact with any adult inmates through use of a shared dayroom or other common space, shower area, or sleeping quarters? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
115.14 (b)	Youthful inmates	
	In areas outside of housing units does the agency maintain sight and sound separation between youthful inmates and adult inmates? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
	In areas outside of housing units does the agency provide direct staff supervision when youthful inmates and adult inmates have sight, sound, or physical contact? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
115.14 (c)	Youthful inmates	
	Does the agency make its best efforts to avoid placing youthful inmates in isolation to comply with this provision? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
	Does the agency, while complying with this provision, allow youthful inmates daily large-muscle exercise and legally required special education services, except in exigent circumstances? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
	Do youthful inmates have access to other programs and work opportunities to the extent possible? (N/A if facility does not have youthful inmates (inmates <18 years old).)	na
115.15 (a)	Limits to cross-gender viewing and searches	
	Does the facility always refrain from conducting any cross-gender strip or cross-gender visual body cavity searches, except in exigent circumstances or by medical practitioners?	yes
115.15 (b)	Limits to cross-gender viewing and searches	
	Does the facility always refrain from conducting cross-gender pat-down searches of female inmates, except in exigent circumstances? (N/A if the facility does not have female inmates.)	na
	Does the facility always refrain from restricting female inmates' access to regularly available programming or other out-of-cell opportunities in order to comply with this provision? (N/A if the	na

	facility does not have female inmates.)	
115.15 (c)	Limits to cross-gender viewing and searches	
	Does the facility document all cross-gender strip searches and cross-gender visual body cavity searches?	yes
	Does the facility document all cross-gender pat-down searches of female inmates (N/A if the facility does not have female inmates)?	na
115.15 (d)	Limits to cross-gender viewing and searches	
	Does the facility have policies that enables inmates to shower, perform bodily functions, and change clothing without nonmedical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks?	yes
	Does the facility have procedures that enables inmates to shower, perform bodily functions, and change clothing without nonmedical staff of the opposite gender viewing their breasts, buttocks, or genitalia, except in exigent circumstances or when such viewing is incidental to routine cell checks?	yes
	Does the facility require staff of the opposite gender to announce their presence when entering an inmate housing unit?	yes
115.15 (e)	Limits to cross-gender viewing and searches	
	Does the facility always refrain from searching or physically examining transgender or intersex inmates for the sole purpose of determining the inmate's genital status?	yes
	If an inmate's genital status is unknown, does the facility determine genital status during conversations with the inmate, by reviewing medical records, or, if necessary, by learning that information as part of a broader medical examination conducted in private by a medical practitioner?	yes
115.15 (f)	Limits to cross-gender viewing and searches	
	Does the facility/agency train security staff in how to conduct cross-gender pat down searches in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs?	yes
	Does the facility/agency train security staff in how to conduct searches of transgender and intersex inmates in a professional and respectful manner, and in the least intrusive manner possible, consistent with security needs?	yes

115.16 (a)	Inmates with disabilities and inmates who are limited English proficient	
	Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who are deaf or hard of hearing?	yes
	Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who are blind or have low vision?	yes
	Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who have intellectual disabilities?	yes
	Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who have psychiatric disabilities?	yes
	Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: inmates who have speech disabilities?	yes
	Does the agency take appropriate steps to ensure that inmates with disabilities have an equal opportunity to participate in or benefit from all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment, including: Other (if "other," please explain in overall determination notes.)	yes
	Do such steps include, when necessary, ensuring effective communication with inmates who are deaf or hard of hearing?	yes
	Do such steps include, when necessary, providing access to interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary?	yes
	Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication	yes

	with inmates with disabilities including inmates who: Have intellectual disabilities?	
	Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with inmates with disabilities including inmates who: Have limited reading skills?	yes
	Does the agency ensure that written materials are provided in formats or through methods that ensure effective communication with inmates with disabilities including inmates who: are blind or have low vision?	yes
115.16 (b)	Inmates with disabilities and inmates who are limited English proficient	
	Does the agency take reasonable steps to ensure meaningful access to all aspects of the agency's efforts to prevent, detect, and respond to sexual abuse and sexual harassment to inmates who are limited English proficient?	yes
	Do these steps include providing interpreters who can interpret effectively, accurately, and impartially, both receptively and expressively, using any necessary specialized vocabulary?	yes
115.16 (c)	Inmates with disabilities and inmates who are limited English proficient	
	Does the agency always refrain from relying on inmate interpreters, inmate readers, or other types of inmate assistance except in limited circumstances where an extended delay in obtaining an effective interpreter could compromise the inmate's safety, the performance of first-response duties under §115.64, or the investigation of the inmate's allegations?	yes
115.17 (a)	Hiring and promotion decisions	
	Does the agency prohibit the hiring or promotion of anyone who may have contact with inmates who has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997)?	yes
	Does the agency prohibit the hiring or promotion of anyone who may have contact with inmates who has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse?	yes
	Does the agency prohibit the hiring or promotion of anyone who	yes

	may have contact with inmates who has been civilly or administratively adjudicated to have engaged in the activity described in the two bullets immediately above?	
	Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997)?	yes
	Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse?	yes
	Does the agency prohibit the enlistment of services of any contractor who may have contact with inmates who has been civilly or administratively adjudicated to have engaged in the activity described in the two bullets immediately above?	yes
115.17 (b)	Hiring and promotion decisions	
	Does the agency consider any incidents of sexual harassment in determining whether to hire or promote anyone who may have contact with inmates?	yes
	Does the agency consider any incidents of sexual harassment in determining whether to enlist the services of any contractor who may have contact with inmates?	yes
115.17 (c)	Hiring and promotion decisions	
	Before hiring new employees who may have contact with inmates, does the agency perform a criminal background records check?	yes
	Before hiring new employees who may have contact with inmates, does the agency, consistent with Federal, State, and local law, make its best efforts to contact all prior institutional employers for information on substantiated allegations of sexual abuse or any resignation during a pending investigation of an allegation of sexual abuse?	yes
115.17 (d)	Hiring and promotion decisions	
	Does the agency perform a criminal background records check before enlisting the services of any contractor who may have contact with inmates?	yes

115.17 (e)	Hiring and promotion decisions	
	Does the agency either conduct criminal background records checks at least every five years of current employees and contractors who may have contact with inmates or have in place a system for otherwise capturing such information for current employees?	yes
115.17 (f)	Hiring and promotion decisions	
	Does the agency ask all applicants and employees who may have contact with inmates directly about previous misconduct described in paragraph (a) of this section in written applications or interviews for hiring or promotions?	yes
	Does the agency ask all applicants and employees who may have contact with inmates directly about previous misconduct described in paragraph (a) of this section in any interviews or written self-evaluations conducted as part of reviews of current employees?	yes
	Does the agency impose upon employees a continuing affirmative duty to disclose any such misconduct?	yes
115.17 (g)	Hiring and promotion decisions	
	Does the agency consider material omissions regarding such misconduct, or the provision of materially false information, grounds for termination?	yes
115.17 (h)	Hiring and promotion decisions	
	Does the agency provide information on substantiated allegations of sexual abuse or sexual harassment involving a former employee upon receiving a request from an institutional employer for whom such employee has applied to work? (N/A if providing information on substantiated allegations of sexual abuse or sexual harassment involving a former employee is prohibited by law.)	yes
115.18 (a)	Upgrades to facilities and technologies	
	If the agency designed or acquired any new facility or planned any substantial expansion or modification of existing facilities, did the agency consider the effect of the design, acquisition, expansion, or modification upon the agency's ability to protect inmates from sexual abuse? (N/A if agency/facility has not acquired a new facility or made a substantial expansion to existing facilities since August 20, 2012, or since the last PREA audit, whichever is later.)	yes
115.18 (b)	Upgrades to facilities and technologies	

	If the agency installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology, did the agency consider how such technology may enhance the agency's ability to protect inmates from sexual abuse? (N/A if agency/facility has not installed or updated a video monitoring system, electronic surveillance system, or other monitoring technology since August 20, 2012, or since the last PREA audit, whichever is later.)	yes
115.21 (a)	Evidence protocol and forensic medical examinations	
	If the agency is responsible for investigating allegations of sexual abuse, does the agency follow a uniform evidence protocol that maximizes the potential for obtaining usable physical evidence for administrative proceedings and criminal prosecutions? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.)	yes
115.21 (b)	Evidence protocol and forensic medical examinations	
	Is this protocol developmentally appropriate for youth where applicable? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.)	yes
	Is this protocol, as appropriate, adapted from or otherwise based on the most recent edition of the U.S. Department of Justice's Office on Violence Against Women publication, "A National Protocol for Sexual Assault Medical Forensic Examinations, Adults/Adolescents," or similarly comprehensive and authoritative protocols developed after 2011? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations.)	yes
115.21 (c)	Evidence protocol and forensic medical examinations	
	Does the agency offer all victims of sexual abuse access to forensic medical examinations, whether on-site or at an outside facility, without financial cost, where evidentiarily or medically appropriate?	yes
	Are such examinations performed by Sexual Assault Forensic Examiners (SAFEs) or Sexual Assault Nurse Examiners (SANEs) where possible?	yes
	If SAFEs or SANEs cannot be made available, is the examination performed by other qualified medical practitioners (they must have been specifically trained to conduct sexual assault forensic exams)?	yes

	Has the agency documented its efforts to provide SAFEs or SANEs?	yes
115.21 (d)	Evidence protocol and forensic medical examinations	
	Does the agency attempt to make available to the victim a victim advocate from a rape crisis center?	yes
	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? (N/A if the agency always makes a victim advocate from a rape crisis center available to victims.)	yes
	Has the agency documented its efforts to secure services from rape crisis centers?	yes
115.21 (e)	Evidence protocol and forensic medical examinations	
	As requested by the victim, does the victim advocate, qualified agency staff member, or qualified community-based organization staff member accompany and support the victim through the forensic medical examination process and investigatory interviews?	yes
	As requested by the victim, does this person provide emotional support, crisis intervention, information, and referrals?	yes
115.21 (f)	Evidence protocol and forensic medical examinations	
	If the agency itself is not responsible for investigating allegations of sexual abuse, has the agency requested that the investigating agency follow the requirements of paragraphs (a) through (e) of this section? (N/A if the agency/facility is responsible for conducting criminal AND administrative sexual abuse investigations.)	yes
115.21 (h)	Evidence protocol and forensic medical examinations	
	If the agency uses a qualified agency staff member or a qualified community-based staff member for the purposes of this section, has the individual been screened for appropriateness to serve in this role and received education concerning sexual assault and forensic examination issues in general? (N/A if agency always makes a victim advocate from a rape crisis center available to victims.)	yes
115.22 (a)	Policies to ensure referrals of allegations for investigations	

	Does the agency ensure an administrative or criminal investigation is completed for all allegations of sexual abuse?	yes
	Does the agency ensure an administrative or criminal investigation is completed for all allegations of sexual harassment?	yes
115.22 (b) Policies to ensure referrals of allegations for investigations		
	Does the agency have a policy and practice in place to ensure that allegations of sexual abuse or sexual harassment are referred for investigation to an agency with the legal authority to conduct criminal investigations, unless the allegation does not involve potentially criminal behavior?	yes
	Has the agency published such policy on its website or, if it does not have one, made the policy available through other means?	yes
	Does the agency document all such referrals?	yes
115.22 (c) Policies to ensure referrals of allegations for investigations		
	If a separate entity is responsible for conducting criminal investigations, does the policy describe the responsibilities of both the agency and the investigating entity? (N/A if the agency/facility is responsible for criminal investigations. See 115.21(a).)	yes
115.31 (a) Employee training		
	Does the agency train all employees who may have contact with inmates on its zero-tolerance policy for sexual abuse and sexual harassment?	yes
	Does the agency train all employees who may have contact with inmates on how to fulfill their responsibilities under agency sexual abuse and sexual harassment prevention, detection, reporting, and response policies and procedures?	yes
	Does the agency train all employees who may have contact with inmates on inmates' right to be free from sexual abuse and sexual harassment?	yes
	Does the agency train all employees who may have contact with inmates on the right of inmates and employees to be free from retaliation for reporting sexual abuse and sexual harassment?	yes
	Does the agency train all employees who may have contact with inmates on the dynamics of sexual abuse and sexual harassment in confinement?	yes

	Does the agency train all employees who may have contact with inmates on the common reactions of sexual abuse and sexual harassment victims?	yes
	Does the agency train all employees who may have contact with inmates on how to detect and respond to signs of threatened and actual sexual abuse?	yes
	Does the agency train all employees who may have contact with inmates on how to avoid inappropriate relationships with inmates?	yes
	Does the agency train all employees who may have contact with inmates on how to communicate effectively and professionally with inmates, including lesbian, gay, bisexual, transgender, intersex, or gender nonconforming inmates?	yes
	Does the agency train all employees who may have contact with inmates on how to comply with relevant laws related to mandatory reporting of sexual abuse to outside authorities?	yes
115.31 (b)	Employee training	
	Is such training tailored to the gender of the inmates at the employee's facility?	yes
	Have employees received additional training if reassigned from a facility that houses only male inmates to a facility that houses only female inmates, or vice versa?	yes
115.31 (c)	Employee training	
	Have all current employees who may have contact with inmates received such training?	yes
	Does the agency provide each employee with refresher training every two years to ensure that all employees know the agency's current sexual abuse and sexual harassment policies and procedures?	yes
	In years in which an employee does not receive refresher training, does the agency provide refresher information on current sexual abuse and sexual harassment policies?	yes
115.31 (d)	Employee training	
	Does the agency document, through employee signature or electronic verification, that employees understand the training they have received?	yes
115.32 (a)	Volunteer and contractor training	

	Has the agency ensured that all volunteers and contractors who have contact with inmates have been trained on their responsibilities under the agency's sexual abuse and sexual harassment prevention, detection, and response policies and procedures?	yes
115.32 (b)	Volunteer and contractor training	
	Have all volunteers and contractors who have contact with inmates been notified of the agency's zero-tolerance policy regarding sexual abuse and sexual harassment and informed how to report such incidents (the level and type of training provided to volunteers and contractors shall be based on the services they provide and level of contact they have with inmates)?	yes
115.32 (c)	Volunteer and contractor training	
	Does the agency maintain documentation confirming that volunteers and contractors understand the training they have received?	yes
115.33 (a)	Inmate education	
	During intake, do inmates receive information explaining the agency's zero-tolerance policy regarding sexual abuse and sexual harassment?	yes
	During intake, do inmates receive information explaining how to report incidents or suspicions of sexual abuse or sexual harassment?	yes
115.33 (b)	Inmate education	
	Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Their rights to be free from sexual abuse and sexual harassment?	yes
	Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Their rights to be free from retaliation for reporting such incidents?	yes
	Within 30 days of intake, does the agency provide comprehensive education to inmates either in person or through video regarding: Agency policies and procedures for responding to such incidents?	yes
115.33 (c)	Inmate education	
	Have all inmates received the comprehensive education referenced in 115.33(b)?	yes

	Do inmates receive education upon transfer to a different facility to the extent that the policies and procedures of the inmate's new facility differ from those of the previous facility?	yes
115.33 (d)	Inmate education	
	Does the agency provide inmate education in formats accessible to all inmates including those who are limited English proficient?	yes
	Does the agency provide inmate education in formats accessible to all inmates including those who are deaf?	yes
	Does the agency provide inmate education in formats accessible to all inmates including those who are visually impaired?	yes
	Does the agency provide inmate education in formats accessible to all inmates including those who are otherwise disabled?	yes
	Does the agency provide inmate education in formats accessible to all inmates including those who have limited reading skills?	yes
115.33 (e)	Inmate education	
	Does the agency maintain documentation of inmate participation in these education sessions?	yes
115.33 (f)	Inmate education	
	In addition to providing such education, does the agency ensure that key information is continuously and readily available or visible to inmates through posters, inmate handbooks, or other written formats?	yes
115.34 (a)	Specialized training: Investigations	
	In addition to the general training provided to all employees pursuant to §115.31, does the agency ensure that, to the extent the agency itself conducts sexual abuse investigations, its investigators receive training in conducting such investigations in confinement settings? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).)	yes
115.34 (b)	Specialized training: Investigations	
	Does this specialized training include techniques for interviewing sexual abuse victims? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).)	yes
	Does this specialized training include proper use of Miranda and	yes

	Garrrity warnings? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).)	
	Does this specialized training include sexual abuse evidence collection in confinement settings? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).)	yes
	Does this specialized training include the criteria and evidence required to substantiate a case for administrative action or prosecution referral? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).)	yes
115.34 (c)	Specialized training: Investigations	
	Does the agency maintain documentation that agency investigators have completed the required specialized training in conducting sexual abuse investigations? (N/A if the agency does not conduct any form of administrative or criminal sexual abuse investigations. See 115.21(a).)	yes
115.35 (a)	Specialized training: Medical and mental health care	
	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? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	yes
	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? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	yes
	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? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	yes
	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	yes

	suspicious of sexual abuse and sexual harassment? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	
115.35 (b)	Specialized training: Medical and mental health care	
	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 or the agency does not employ medical staff.)	yes
115.35 (c)	Specialized training: Medical and mental health care	
	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? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners who work regularly in its facilities.)	yes
115.35 (d)	Specialized training: Medical and mental health care	
	Do medical and mental health care practitioners employed by the agency also receive training mandated for employees by §115.31? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners employed by the agency.)	yes
	Do medical and mental health care practitioners contracted by or volunteering for the agency also receive training mandated for contractors and volunteers by §115.32? (N/A if the agency does not have any full- or part-time medical or mental health care practitioners contracted by or volunteering for the agency.)	yes
115.41 (a)	Screening for risk of victimization and abusiveness	
	Are all inmates assessed during an intake screening for their risk of being sexually abused by other inmates or sexually abusive toward other inmates?	yes
	Are all inmates assessed upon transfer to another facility for their risk of being sexually abused by other inmates or sexually abusive toward other inmates?	yes
115.41 (b)	Screening for risk of victimization and abusiveness	
	Do intake screenings ordinarily take place within 72 hours of arrival at the facility?	yes
115.41 (c)	Screening for risk of victimization and abusiveness	
	Are all PREA screening assessments conducted using an objective	yes

	screening instrument?	
115.41 (d)	Screening for risk of victimization and abusiveness	
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (1) Whether the inmate has a mental, physical, or developmental disability?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (2) The age of the inmate?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (3) The physical build of the inmate?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (4) Whether the inmate has previously been incarcerated?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (5) Whether the inmate's criminal history is exclusively nonviolent?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (6) Whether the inmate has prior convictions for sex offenses against an adult or child?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (7) Whether the inmate is or is perceived to be gay, lesbian, bisexual, transgender, intersex, or gender nonconforming (the facility affirmatively asks the inmate about his/her sexual orientation and gender identity AND makes a subjective determination based on the screener's perception whether the inmate is gender non-conforming or otherwise may be perceived to be LGBTI)?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (8) Whether the inmate has previously experienced sexual victimization?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (9) The inmate's own perception of vulnerability?	yes
	Does the intake screening consider, at a minimum, the following criteria to assess inmates for risk of sexual victimization: (10)	yes

	Whether the inmate is detained solely for civil immigration purposes?	
115.41 (e)	Screening for risk of victimization and abusiveness	
	In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, as known to the agency: prior acts of sexual abuse?	yes
	In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, as known to the agency: prior convictions for violent offenses?	yes
	In assessing inmates for risk of being sexually abusive, does the initial PREA risk screening consider, as known to the agency: history of prior institutional violence or sexual abuse?	yes
115.41 (f)	Screening for risk of victimization and abusiveness	
	Within a set time period not more than 30 days from the inmate's arrival at the facility, does the facility reassess the inmate's risk of victimization or abusiveness based upon any additional, relevant information received by the facility since the intake screening?	yes
115.41 (g)	Screening for risk of victimization and abusiveness	
	Does the facility reassess an inmate's risk level when warranted due to a referral?	yes
	Does the facility reassess an inmate's risk level when warranted due to a request?	yes
	Does the facility reassess an inmate's risk level when warranted due to an incident of sexual abuse?	yes
	Does the facility reassess an inmate's risk level when warranted due to receipt of additional information that bears on the inmate's risk of sexual victimization or abusiveness?	yes
115.41 (h)	Screening for risk of victimization and abusiveness	
	Is it the case that inmates are not ever disciplined for refusing to answer, or for not disclosing complete information in response to, questions asked pursuant to paragraphs (d)(1), (d)(7), (d)(8), or (d)(9) of this section?	yes
115.41 (i)	Screening for risk of victimization and abusiveness	
	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	yes

	information is not exploited to the inmate's detriment by staff or other inmates?	
115.42 (a) Use of screening information		
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Housing Assignments?	yes
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Bed assignments?	yes
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Work Assignments?	yes
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Education Assignments?	yes
	Does the agency use information from the risk screening required by § 115.41, with the goal of keeping separate those inmates at high risk of being sexually victimized from those at high risk of being sexually abusive, to inform: Program Assignments?	yes
115.42 (b) Use of screening information		
	Does the agency make individualized determinations about how to ensure the safety of each inmate?	yes
115.42 (c) Use of screening information		
	When deciding whether to assign a transgender or intersex inmate to a facility for male or female inmates, does the agency consider, on a case-by-case basis, whether a placement would ensure the inmate's health and safety, and whether a placement would present management or security problems (NOTE: if an agency by policy or practice assigns inmates to a male or female facility on the basis of anatomy alone, that agency is not in compliance with this standard)?	yes
	When making housing or other program assignments for transgender or intersex inmates, does the agency consider, on a case-by-case basis, whether a placement would ensure the inmate's health and safety, and whether a placement would	yes

	present management or security problems?	
115.42 (d)	Use of screening information	
	Are placement and programming assignments for each transgender or intersex inmate reassessed at least twice each year to review any threats to safety experienced by the inmate?	yes
115.42 (e)	Use of screening information	
	Are each transgender or intersex inmate's own views with respect to his or her own safety given serious consideration when making facility and housing placement decisions and programming assignments?	yes
115.42 (f)	Use of screening information	
	Are transgender and intersex inmates given the opportunity to shower separately from other inmates?	yes
115.42 (g)	Use of screening information	
	Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: lesbian, gay, and bisexual inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? (N/A if the agency has a dedicated facility, unit, or wing solely for the placement of LGBT or I inmates pursuant to a consent decree, legal settlement, or legal judgement.)	yes
	Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: transgender inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? (N/A if the agency has a dedicated facility, unit, or wing solely for the placement of LGBT or I inmates pursuant to a consent decree, legal settlement, or legal judgement.)	yes
	Unless placement is in a dedicated facility, unit, or wing established in connection with a consent decree, legal settlement, or legal judgment for the purpose of protecting lesbian, gay, bisexual, transgender, or intersex inmates, does the agency always refrain from placing: intersex inmates in dedicated facilities, units, or wings solely on the basis of such identification or status? (N/A if the agency has a dedicated facility, unit, or wing	yes

	solely for the placement of LGBT or I inmates pursuant to a consent degree, legal settlement, or legal judgement.)	
115.43 (a)	Protective Custody	
	Does the facility always refrain from placing inmates at high risk for sexual victimization in involuntary segregated housing unless an assessment of all available alternatives has been made, and a determination has been made that there is no available alternative means of separation from likely abusers?	yes
	If a facility cannot conduct such an assessment immediately, does the facility hold the inmate in involuntary segregated housing for less than 24 hours while completing the assessment?	yes
115.43 (b)	Protective Custody	
	Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Programs to the extent possible?	yes
	Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Privileges to the extent possible?	yes
	Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Education to the extent possible?	yes
	Do inmates who are placed in segregated housing because they are at high risk of sexual victimization have access to: Work opportunities to the extent possible?	yes
	If the facility restricts any access to programs, privileges, education, or work opportunities, does the facility document the opportunities that have been limited? (N/A if the facility never restricts access to programs, privileges, education, or work opportunities.)	yes
	If the facility restricts access to programs, privileges, education, or work opportunities, does the facility document the duration of the limitation? (N/A if the facility never restricts access to programs, privileges, education, or work opportunities.)	yes
	If the facility restricts access to programs, privileges, education, or work opportunities, does the facility document the reasons for such limitations? (N/A if the facility never restricts access to programs, privileges, education, or work opportunities.)	yes
115.43 (c)	Protective Custody	

	Does the facility assign inmates at high risk of sexual victimization to involuntary segregated housing only until an alternative means of separation from likely abusers can be arranged?	yes
	Does such an assignment not ordinarily exceed a period of 30 days?	yes
115.43 (d) Protective Custody		
	If an involuntary segregated housing assignment is made pursuant to paragraph (a) of this section, does the facility clearly document: The basis for the facility's concern for the inmate's safety?	yes
	If an involuntary segregated housing assignment is made pursuant to paragraph (a) of this section, does the facility clearly document: The reason why no alternative means of separation can be arranged?	yes
115.43 (e) Protective Custody		
	In the case of each inmate who is placed in involuntary segregation because he/she is at high risk of sexual victimization, does the facility afford a review to determine whether there is a continuing need for separation from the general population EVERY 30 DAYS?	yes
115.51 (a) Inmate reporting		
	Does the agency provide multiple internal ways for inmates to privately report: Sexual abuse and sexual harassment?	yes
	Does the agency provide multiple internal ways for inmates to privately report: Retaliation by other inmates or staff for reporting sexual abuse and sexual harassment?	yes
	Does the agency provide multiple internal ways for inmates to privately report: Staff neglect or violation of responsibilities that may have contributed to such incidents?	yes
115.51 (b) Inmate reporting		
	Does the agency also provide at least one way for inmates to report sexual abuse or sexual harassment to a public or private entity or office that is not part of the agency?	yes
	Is that private entity or office able to receive and immediately forward inmate reports of sexual abuse and sexual harassment to agency officials?	yes
	Does that private entity or office allow the inmate to remain	yes

	anonymous upon request?	
	Are inmates detained solely for civil immigration purposes provided information on how to contact relevant consular officials and relevant officials at the Department of Homeland Security? (N/A if the facility never houses inmates detained solely for civil immigration purposes.)	na
115.51 (c)	Inmate reporting	
	Does staff accept reports of sexual abuse and sexual harassment made verbally, in writing, anonymously, and from third parties?	yes
	Does staff promptly document any verbal reports of sexual abuse and sexual harassment?	yes
115.51 (d)	Inmate reporting	
	Does the agency provide a method for staff to privately report sexual abuse and sexual harassment of inmates?	yes
115.52 (a)	Exhaustion of administrative remedies	
	Is the agency exempt from this standard? NOTE: The agency is exempt ONLY if it does not have administrative procedures to address inmate grievances regarding sexual abuse. This does not mean the agency is exempt simply because an inmate does not have to or is not ordinarily expected to submit a grievance to report sexual abuse. This means that as a matter of explicit policy, the agency does not have an administrative remedies process to address sexual abuse.	yes
115.52 (b)	Exhaustion of administrative remedies	
	Does the agency permit inmates to submit a grievance regarding an allegation of sexual abuse without any type of time limits? (The agency may apply otherwise-applicable time limits to any portion of a grievance that does not allege an incident of sexual abuse.) (N/A if agency is exempt from this standard.)	yes
	Does the agency always refrain from requiring an inmate to use any informal grievance process, or to otherwise attempt to resolve with staff, an alleged incident of sexual abuse? (N/A if agency is exempt from this standard.)	yes
115.52 (c)	Exhaustion of administrative remedies	
	Does the agency ensure that: An inmate who alleges sexual abuse may submit a grievance without submitting it to a staff member who is the subject of the complaint? (N/A if agency is exempt from	yes

	this standard.)	
	Does the agency ensure that: Such grievance is not referred to a staff member who is the subject of the complaint? (N/A if agency is exempt from this standard.)	yes
115.52 (d)	Exhaustion of administrative remedies	
	Does the agency issue a final agency decision on the merits of any portion of a grievance alleging sexual abuse within 90 days of the initial filing of the grievance? (Computation of the 90-day time period does not include time consumed by inmates in preparing any administrative appeal.) (N/A if agency is exempt from this standard.)	yes
	If the agency claims the maximum allowable extension of time to respond of up to 70 days per 115.52(d)(3) when the normal time period for response is insufficient to make an appropriate decision, does the agency notify the inmate in writing of any such extension and provide a date by which a decision will be made? (N/A if agency is exempt from this standard.)	yes
	At any level of the administrative process, including the final level, if the inmate does not receive a response within the time allotted for reply, including any properly noticed extension, may an inmate consider the absence of a response to be a denial at that level? (N/A if agency is exempt from this standard.)	yes
115.52 (e)	Exhaustion of administrative remedies	
	Are third parties, including fellow inmates, staff members, family members, attorneys, and outside advocates, permitted to assist inmates in filing requests for administrative remedies relating to allegations of sexual abuse? (N/A if agency is exempt from this standard.)	yes
	Are those third parties also permitted to file such requests on behalf of inmates? (If a third party files such a request on behalf of an inmate, the facility may require as a condition of processing the request that the alleged victim agree to have the request filed on his or her behalf, and may also require the alleged victim to personally pursue any subsequent steps in the administrative remedy process.) (N/A if agency is exempt from this standard.)	yes
	If the inmate declines to have the request processed on his or her behalf, does the agency document the inmate's decision? (N/A if agency is exempt from this standard.)	yes
115.52 (f)	Exhaustion of administrative remedies	

	Has the agency established procedures for the filing of an emergency grievance alleging that an inmate is subject to a substantial risk of imminent sexual abuse? (N/A if agency is exempt from this standard.)	yes
	After receiving an emergency grievance alleging an inmate is subject to a substantial risk of imminent sexual abuse, does the agency immediately forward the grievance (or any portion thereof that alleges the substantial risk of imminent sexual abuse) to a level of review at which immediate corrective action may be taken? (N/A if agency is exempt from this standard.).	yes
	After receiving an emergency grievance described above, does the agency provide an initial response within 48 hours? (N/A if agency is exempt from this standard.)	yes
	After receiving an emergency grievance described above, does the agency issue a final agency decision within 5 calendar days? (N/A if agency is exempt from this standard.)	yes
	Does the initial response and final agency decision document the agency's determination whether the inmate is in substantial risk of imminent sexual abuse? (N/A if agency is exempt from this standard.)	yes
	Does the initial response document the agency's action(s) taken in response to the emergency grievance? (N/A if agency is exempt from this standard.)	yes
	Does the agency's final decision document the agency's action(s) taken in response to the emergency grievance? (N/A if agency is exempt from this standard.)	yes
115.52 (g)	Exhaustion of administrative remedies	
	If the agency disciplines an inmate for filing a grievance related to alleged sexual abuse, does it do so ONLY where the agency demonstrates that the inmate filed the grievance in bad faith? (N/A if agency is exempt from this standard.)	yes
115.53 (a)	Inmate access to outside confidential support services	
	Does the facility provide inmates with access to outside victim advocates for emotional support services related to sexual abuse by giving inmates mailing addresses and telephone numbers, including toll-free hotline numbers where available, of local, State, or national victim advocacy or rape crisis organizations?	yes
	Does the facility provide persons detained solely for civil immigration purposes mailing addresses and telephone numbers,	yes

	including toll-free hotline numbers where available of local, State, or national immigrant services agencies? (N/A if the facility never has persons detained solely for civil immigration purposes.)	
	Does the facility enable reasonable communication between inmates and these organizations and agencies, in as confidential a manner as possible?	yes
115.53 (b)	Inmate access to outside confidential support services	
	Does the facility inform inmates, prior to giving them access, of the extent to which such communications will be monitored and the extent to which reports of abuse will be forwarded to authorities in accordance with mandatory reporting laws?	yes
115.53 (c)	Inmate access to outside confidential support services	
	Does the agency maintain or attempt to enter into memoranda of understanding or other agreements with community service providers that are able to provide inmates with confidential emotional support services related to sexual abuse?	yes
	Does the agency maintain copies of agreements or documentation showing attempts to enter into such agreements?	yes
115.54 (a)	Third-party reporting	
	Has the agency established a method to receive third-party reports of sexual abuse and sexual harassment?	yes
	Has the agency distributed publicly information on how to report sexual abuse and sexual harassment on behalf of an inmate?	yes
115.61 (a)	Staff and agency reporting duties	
	Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding an incident of sexual abuse or sexual harassment that occurred in a facility, whether or not it is part of the agency?	yes
	Does the agency require all staff to report immediately and according to agency policy any knowledge, suspicion, or information regarding retaliation against inmates or staff who reported an incident of sexual abuse or sexual harassment?	yes
	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	yes

	abuse or sexual harassment or retaliation?	
115.61 (b)	Staff and agency reporting duties	
	Apart from reporting to designated supervisors or officials, does staff always refrain from revealing any information related to a sexual abuse report to anyone other than to the extent necessary, as specified in agency policy, to make treatment, investigation, and other security and management decisions?	yes
115.61 (c)	Staff and agency reporting duties	
	Unless otherwise precluded by Federal, State, or local law, are medical and mental health practitioners required to report sexual abuse pursuant to paragraph (a) of this section?	yes
	Are medical and mental health practitioners required to inform inmates of the practitioner's duty to report, and the limitations of confidentiality, at the initiation of services?	yes
115.61 (d)	Staff and agency reporting duties	
	If the alleged victim is under the age of 18 or considered a vulnerable adult under a State or local vulnerable persons statute, does the agency report the allegation to the designated State or local services agency under applicable mandatory reporting laws?	yes
115.61 (e)	Staff and agency reporting duties	
	Does the facility report all allegations of sexual abuse and sexual harassment, including third-party and anonymous reports, to the facility's designated investigators?	yes
115.62 (a)	Agency protection duties	
	When the agency learns that an inmate is subject to a substantial risk of imminent sexual abuse, does it take immediate action to protect the inmate?	yes
115.63 (a)	Reporting to other confinement facilities	
	Upon receiving an allegation that an inmate was sexually abused while confined at another facility, does the head of the facility that received the allegation notify the head of the facility or appropriate office of the agency where the alleged abuse occurred?	yes
115.63 (b)	Reporting to other confinement facilities	
	Is such notification provided as soon as possible, but no later than 72 hours after receiving the allegation?	yes

115.63 (c)	Reporting to other confinement facilities	
	Does the agency document that it has provided such notification?	yes
115.63 (d)	Reporting to other confinement facilities	
	Does the facility head or agency office that receives such notification ensure that the allegation is investigated in accordance with these standards?	yes
115.64 (a)	Staff first responder duties	
	Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Separate the alleged victim and abuser?	yes
	Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Preserve and protect any crime scene until appropriate steps can be taken to collect any evidence?	yes
	Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Request that the alleged victim not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating, if the abuse occurred within a time period that still allows for the collection of physical evidence?	yes
	Upon learning of an allegation that an inmate was sexually abused, is the first security staff member to respond to the report required to: Ensure that the alleged abuser does not take any actions that could destroy physical evidence, including, as appropriate, washing, brushing teeth, changing clothes, urinating, defecating, smoking, drinking, or eating, if the abuse occurred within a time period that still allows for the collection of physical evidence?	yes
115.64 (b)	Staff first responder duties	
	If the first staff responder is not a security staff member, is the responder required to request that the alleged victim not take any actions that could destroy physical evidence, and then notify security staff?	yes
115.65 (a)	Coordinated response	
	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	yes

	response to an incident of sexual abuse?	
115.66 (a)	Preservation of ability to protect inmates from contact with abusers	
	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 limit the agency's ability to remove alleged staff sexual abusers from contact with any inmates pending the outcome of an investigation or of a determination of whether and to what extent discipline is warranted?	no
115.67 (a)	Agency protection against retaliation	
	Has the agency established a policy to protect all inmates and staff who report sexual abuse or sexual harassment or cooperate with sexual abuse or sexual harassment investigations from retaliation by other inmates or staff?	yes
	Has the agency designated which staff members or departments are charged with monitoring retaliation?	yes
115.67 (b)	Agency protection against retaliation	
	Does the agency employ multiple protection measures, such as housing changes or transfers for inmate victims or abusers, removal of alleged staff or inmate abusers from contact with victims, and emotional support services for inmates or staff who fear retaliation for reporting sexual abuse or sexual harassment or for cooperating with investigations?	yes
115.67 (c)	Agency protection against retaliation	
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor the conduct and treatment of inmates or staff who reported the sexual abuse to see if there are changes that may suggest possible retaliation by inmates or staff?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor the conduct and treatment of inmates who were reported to have suffered sexual abuse to see if there are changes that may suggest possible retaliation by inmates or staff?	yes
	Except in instances where the agency determines that a report of	yes

	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?	
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor any inmate disciplinary reports?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor inmate housing changes?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor inmate program changes?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor negative performance reviews of staff?	yes
	Except in instances where the agency determines that a report of sexual abuse is unfounded, for at least 90 days following a report of sexual abuse, does the agency: Monitor reassignments of staff?	yes
	Does the agency continue such monitoring beyond 90 days if the initial monitoring indicates a continuing need?	yes
115.67 (d)	Agency protection against retaliation	
	In the case of inmates, does such monitoring also include periodic status checks?	yes
115.67 (e)	Agency protection against retaliation	
	If any other individual who cooperates with an investigation expresses a fear of retaliation, does the agency take appropriate measures to protect that individual against retaliation?	yes
115.68 (a)	Post-allegation protective custody	
	Is any and all use of segregated housing to protect an inmate who is alleged to have suffered sexual abuse subject to the requirements of § 115.43?	yes
115.71 (a)	Criminal and administrative agency investigations	
	When the agency conducts its own investigations into allegations	yes

	of sexual abuse and sexual harassment, does it do so promptly, thoroughly, and objectively? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations. See 115.21(a).)	
	Does the agency conduct such investigations for all allegations, including third party and anonymous reports? (N/A if the agency/facility is not responsible for conducting any form of criminal OR administrative sexual abuse investigations. See 115.21(a).)	yes
115.71 (b)	Criminal and administrative agency investigations	
	Where sexual abuse is alleged, does the agency use investigators who have received specialized training in sexual abuse investigations as required by 115.34?	yes
115.71 (c)	Criminal and administrative agency investigations	
	Do investigators gather and preserve direct and circumstantial evidence, including any available physical and DNA evidence and any available electronic monitoring data?	yes
	Do investigators interview alleged victims, suspected perpetrators, and witnesses?	yes
	Do investigators review prior reports and complaints of sexual abuse involving the suspected perpetrator?	yes
115.71 (d)	Criminal and administrative agency investigations	
	When the quality of evidence appears to support criminal prosecution, does the agency conduct compelled interviews only after consulting with prosecutors as to whether compelled interviews may be an obstacle for subsequent criminal prosecution?	yes
115.71 (e)	Criminal and administrative agency investigations	
	Do agency investigators assess the credibility of an alleged victim, suspect, or witness on an individual basis and not on the basis of that individual's status as inmate or staff?	yes
	Does the agency investigate allegations of sexual abuse without requiring an inmate who alleges sexual abuse to submit to a polygraph examination or other truth-telling device as a condition for proceeding?	yes
115.71 (f)	Criminal and administrative agency investigations	
	Do administrative investigations include an effort to determine whether staff actions or failures to act contributed to the abuse?	yes

	Are administrative investigations documented in written reports that include a description of the physical evidence and testimonial evidence, the reasoning behind credibility assessments, and investigative facts and findings?	yes
115.71 (g)	Criminal and administrative agency investigations	
	Are criminal investigations documented in a written report that contains a thorough description of the physical, testimonial, and documentary evidence and attaches copies of all documentary evidence where feasible?	yes
115.71 (h)	Criminal and administrative agency investigations	
	Are all substantiated allegations of conduct that appears to be criminal referred for prosecution?	yes
115.71 (i)	Criminal and administrative agency investigations	
	Does the agency retain all written reports referenced in 115.71(f) and (g) for as long as the alleged abuser is incarcerated or employed by the agency, plus five years?	yes
115.71 (j)	Criminal and administrative agency investigations	
	Does the agency ensure that the departure of an alleged abuser or victim from the employment or control of the agency does not provide a basis for terminating an investigation?	yes
115.71 (l)	Criminal and administrative agency investigations	
	When an outside entity investigates sexual abuse, does the facility cooperate with outside investigators and endeavor to remain informed about the progress of the investigation? (N/A if an outside agency does not conduct administrative or criminal sexual abuse investigations. See 115.21(a).)	yes
115.72 (a)	Evidentiary standard for administrative investigations	
	Is it true that the agency does not impose a standard higher than a preponderance of the evidence in determining whether allegations of sexual abuse or sexual harassment are substantiated?	yes
115.73 (a)	Reporting to inmates	
	Following an investigation into an inmate's allegation that he or she suffered sexual abuse in an agency facility, does the agency inform the inmate as to whether the allegation has been determined to be substantiated, unsubstantiated, or unfounded?	yes

115.73 (b)	Reporting to inmates	
	If the agency did not conduct the investigation into an inmate's allegation of sexual abuse in an agency facility, does the agency request the relevant information from the investigative agency in order to inform the inmate? (N/A if the agency/facility is responsible for conducting administrative and criminal investigations.)	yes
115.73 (c)	Reporting to inmates	
	Following an inmate'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 inmate has been released from custody, does the agency subsequently inform the resident whenever: The staff member is no longer posted within the inmate's unit?	yes
	Following an inmate'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?	yes
	Following an inmate'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?	yes
	Following an inmate'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?	yes
115.73 (d)	Reporting to inmates	
	Following an inmate's allegation that he or she has been sexually abused by another inmate, does the agency subsequently inform the alleged victim whenever: The agency learns that the alleged abuser has been indicted on a charge related to sexual abuse within the facility?	yes
	Following an inmate's allegation that he or she has been sexually	yes

	abused by another inmate, does the agency subsequently inform the alleged victim whenever: The agency learns that the alleged abuser has been convicted on a charge related to sexual abuse within the facility?	
115.73 (e)	Reporting to inmates	
	Does the agency document all such notifications or attempted notifications?	yes
115.76 (a)	Disciplinary sanctions for staff	
	Are staff subject to disciplinary sanctions up to and including termination for violating agency sexual abuse or sexual harassment policies?	yes
115.76 (b)	Disciplinary sanctions for staff	
	Is termination the presumptive disciplinary sanction for staff who have engaged in sexual abuse?	yes
115.76 (c)	Disciplinary sanctions for staff	
	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
115.76 (d)	Disciplinary sanctions for staff	
	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
	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
115.77 (a)	Corrective action for contractors and volunteers	
	Is any contractor or volunteer who engages in sexual abuse prohibited from contact with inmates?	yes
	Is any contractor or volunteer who engages in sexual abuse reported to: Law enforcement agencies (unless the activity was clearly not criminal)?	yes

	Is any contractor or volunteer who engages in sexual abuse reported to: Relevant licensing bodies?	yes
115.77 (b)	Corrective action for contractors and volunteers	
	In the case of any other violation of agency sexual abuse or sexual harassment policies by a contractor or volunteer, does the facility take appropriate remedial measures, and consider whether to prohibit further contact with inmates?	yes
115.78 (a)	Disciplinary sanctions for inmates	
	Following an administrative finding that an inmate engaged in inmate-on-inmate sexual abuse, or following a criminal finding of guilt for inmate-on-inmate sexual abuse, are inmates subject to disciplinary sanctions pursuant to a formal disciplinary process?	yes
115.78 (b)	Disciplinary sanctions for inmates	
	Are sanctions commensurate with the nature and circumstances of the abuse committed, the inmate's disciplinary history, and the sanctions imposed for comparable offenses by other inmates with similar histories?	yes
115.78 (c)	Disciplinary sanctions for inmates	
	When determining what types of sanction, if any, should be imposed, does the disciplinary process consider whether an inmate's mental disabilities or mental illness contributed to his or her behavior?	yes
115.78 (d)	Disciplinary sanctions for inmates	
	If the facility offers therapy, counseling, or other interventions designed to address and correct underlying reasons or motivations for the abuse, does the facility consider whether to require the offending inmate to participate in such interventions as a condition of access to programming and other benefits?	yes
115.78 (e)	Disciplinary sanctions for inmates	
	Does the agency discipline an inmate for sexual contact with staff only upon a finding that the staff member did not consent to such contact?	yes
115.78 (f)	Disciplinary sanctions for inmates	
	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	yes

	evidence sufficient to substantiate the allegation?	
115.78 (g)	Disciplinary sanctions for inmates	
	If the agency prohibits all sexual activity between inmates, does the agency always refrain from considering non-coercive sexual activity between inmates to be sexual abuse? (N/A if the agency does not prohibit all sexual activity between inmates.)	yes
115.81 (a)	Medical and mental health screenings; history of sexual abuse	
	If the screening pursuant to § 115.41 indicates that a prison inmate has experienced prior sexual victimization, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a medical or mental health practitioner within 14 days of the intake screening? (N/A if the facility is not a prison).	yes
115.81 (b)	Medical and mental health screenings; history of sexual abuse	
	If the screening pursuant to § 115.41 indicates that a prison inmate has previously perpetrated sexual abuse, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a mental health practitioner within 14 days of the intake screening? (N/A if the facility is not a prison.)	yes
115.81 (c)	Medical and mental health screenings; history of sexual abuse	
	If the screening pursuant to § 115.41 indicates that a jail inmate has experienced prior sexual victimization, whether it occurred in an institutional setting or in the community, do staff ensure that the inmate is offered a follow-up meeting with a medical or mental health practitioner within 14 days of the intake screening? (N/A if the facility is not a jail).	na
115.81 (d)	Medical and mental health screenings; history of sexual abuse	
	Is any information related to sexual victimization or abusiveness that occurred in an institutional setting strictly limited to medical and mental health practitioners and other staff as necessary to inform treatment plans and security management decisions, including housing, bed, work, education, and program assignments, or as otherwise required by Federal, State, or local law?	yes
115.81 (e)	Medical and mental health screenings; history of sexual abuse	
	Do medical and mental health practitioners obtain informed consent from inmates before reporting information about prior	yes

	sexual victimization that did not occur in an institutional setting, unless the inmate is under the age of 18?	
115.82 (a)	Access to emergency medical and mental health services	
	Do inmate victims of sexual abuse receive timely, unimpeded access to emergency medical treatment and crisis intervention services, the nature and scope of which are determined by medical and mental health practitioners according to their professional judgment?	yes
115.82 (b)	Access to emergency medical and mental health services	
	If no qualified medical or mental health practitioners are on duty at the time a report of recent sexual abuse is made, do security staff first responders take preliminary steps to protect the victim pursuant to § 115.62?	yes
	Do security staff first responders immediately notify the appropriate medical and mental health practitioners?	yes
115.82 (c)	Access to emergency medical and mental health services	
	Are inmate victims of sexual abuse offered timely information about and timely access to emergency contraception and sexually transmitted infections prophylaxis, in accordance with professionally accepted standards of care, where medically appropriate?	yes
115.82 (d)	Access to emergency medical and mental health services	
	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
115.83 (a)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Does the facility offer medical and mental health evaluation and, as appropriate, treatment to all inmates who have been victimized by sexual abuse in any prison, jail, lockup, or juvenile facility?	yes
115.83 (b)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Does the evaluation and treatment of such victims include, as appropriate, follow-up services, treatment plans, and, when necessary, referrals for continued care following their transfer to, or placement in, other facilities, or their release from custody?	yes
115.83 (c)	Ongoing medical and mental health care for sexual abuse	

	victims and abusers	
	Does the facility provide such victims with medical and mental health services consistent with the community level of care?	yes
115.83 (d)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Are inmate victims of sexually abusive vaginal penetration while incarcerated offered pregnancy tests? (N/A if "all male" facility. Note: in "all male" facilities there may be inmates who identify as transgender men who may have female genitalia. Auditors should be sure to know whether such individuals may be in the population and whether this provision may apply in specific circumstances.)	na
115.83 (e)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	If pregnancy results from the conduct described in paragraph § 115.83(d), do such victims receive timely and comprehensive information about and timely access to all lawful pregnancy-related medical services? (N/A if "all male" facility. Note: in "all male" facilities there may be inmates who identify as transgender men who may have female genitalia. Auditors should be sure to know whether such individuals may be in the population and whether this provision may apply in specific circumstances.)	na
115.83 (f)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	Are inmate victims of sexual abuse while incarcerated offered tests for sexually transmitted infections as medically appropriate?	yes
115.83 (g)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	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
115.83 (h)	Ongoing medical and mental health care for sexual abuse victims and abusers	
	If the facility is a prison, does it attempt to conduct a mental health evaluation of all known inmate-on-inmate abusers within 60 days of learning of such abuse history and offer treatment when deemed appropriate by mental health practitioners? (NA if the facility is a jail.)	yes

115.86 (a)	Sexual abuse incident reviews	
	Does the facility conduct a sexual abuse incident review at the conclusion of every sexual abuse investigation, including where the allegation has not been substantiated, unless the allegation has been determined to be unfounded?	yes
115.86 (b)	Sexual abuse incident reviews	
	Does such review ordinarily occur within 30 days of the conclusion of the investigation?	yes
115.86 (c)	Sexual abuse incident reviews	
	Does the review team include upper-level management officials, with input from line supervisors, investigators, and medical or mental health practitioners?	yes
115.86 (d)	Sexual abuse incident reviews	
	Does the review team: Consider whether the allegation or investigation indicates a need to change policy or practice to better prevent, detect, or respond to sexual abuse?	yes
	Does the review team: Consider whether the incident or allegation was motivated by race; ethnicity; gender identity; lesbian, gay, bisexual, transgender, or intersex identification, status, or perceived status; gang affiliation; or other group dynamics at the facility?	yes
	Does the review team: Examine the area in the facility where the incident allegedly occurred to assess whether physical barriers in the area may enable abuse?	yes
	Does the review team: Assess the adequacy of staffing levels in that area during different shifts?	yes
	Does the review team: Assess whether monitoring technology should be deployed or augmented to supplement supervision by staff?	yes
	Does the review team: Prepare a report of its findings, including but not necessarily limited to determinations made pursuant to §§ 115.86(d)(1)-(d)(5), and any recommendations for improvement and submit such report to the facility head and PREA compliance manager?	yes
115.86 (e)	Sexual abuse incident reviews	
	Does the facility implement the recommendations for improvement, or document its reasons for not doing so?	yes

115.87 (a)	Data collection	
	Does the agency collect accurate, uniform data for every allegation of sexual abuse at facilities under its direct control using a standardized instrument and set of definitions?	yes
115.87 (b)	Data collection	
	Does the agency aggregate the incident-based sexual abuse data at least annually?	yes
115.87 (c)	Data collection	
	Does the incident-based data include, at a minimum, the data necessary to answer all questions from the most recent version of the Survey of Sexual Violence conducted by the Department of Justice?	yes
115.87 (d)	Data collection	
	Does the agency maintain, review, and collect data as needed from all available incident-based documents, including reports, investigation files, and sexual abuse incident reviews?	yes
115.87 (e)	Data collection	
	Does the agency also obtain incident-based and aggregated data from every private facility with which it contracts for the confinement of its inmates? (N/A if agency does not contract for the confinement of its inmates.)	yes
115.87 (f)	Data collection	
	Does the agency, upon request, provide all such data from the previous calendar year to the Department of Justice no later than June 30? (N/A if DOJ has not requested agency data.)	yes
115.88 (a)	Data review for corrective action	
	Does the agency review data collected and aggregated pursuant to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Identifying problem areas?	yes
	Does the agency review data collected and aggregated pursuant to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Taking corrective action on an ongoing basis?	yes
	Does the agency review data collected and aggregated pursuant	yes

	to § 115.87 in order to assess and improve the effectiveness of its sexual abuse prevention, detection, and response policies, practices, and training, including by: Preparing an annual report of its findings and corrective actions for each facility, as well as the agency as a whole?	
115.88 (b)	Data review for corrective action	
	Does the agency's annual report include a comparison of the current year's data and corrective actions with those from prior years and provide an assessment of the agency's progress in addressing sexual abuse?	yes
115.88 (c)	Data review for corrective action	
	Is the agency's annual report approved by the agency head and made readily available to the public through its website or, if it does not have one, through other means?	yes
115.88 (d)	Data review for corrective action	
	Does the agency indicate the nature of the material redacted where it redacts specific material from the reports when publication would present a clear and specific threat to the safety and security of a facility?	yes
115.89 (a)	Data storage, publication, and destruction	
	Does the agency ensure that data collected pursuant to § 115.87 are securely retained?	yes
115.89 (b)	Data storage, publication, and destruction	
	Does the agency make all aggregated sexual abuse data, from facilities under its direct control and private facilities with which it contracts, readily available to the public at least annually through its website or, if it does not have one, through other means?	yes
115.89 (c)	Data storage, publication, and destruction	
	Does the agency remove all personal identifiers before making aggregated sexual abuse data publicly available?	yes
115.89 (d)	Data storage, publication, and destruction	
	Does the agency maintain sexual abuse data collected pursuant to § 115.87 for at least 10 years after the date of the initial collection, unless Federal, State, or local law requires otherwise?	yes
115.401 (a)	Frequency and scope of audits	

	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.)	yes
115.401 (b)	Frequency and scope of audits	
	Is this the first year of the current audit cycle? (Note: a "no" response does not impact overall compliance with this standard.)	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.)	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.)	yes
115.401 (h)	Frequency and scope of audits	
	Did the auditor have access to, and the ability to observe, all areas of the audited facility?	yes
115.401 (i)	Frequency and scope of audits	
	Was the auditor permitted to request and receive copies of any relevant documents (including electronically stored information)?	yes
115.401 (m)	Frequency and scope of audits	
	Was the auditor permitted to conduct private interviews with inmates, residents, and detainees?	yes
115.401 (n)	Frequency and scope of audits	
	Were inmates permitted to send confidential information or correspondence to the auditor in the same manner as if they were communicating with legal counsel?	yes
115.403	Audit contents and findings	

(f)			
	<table><tr><td data-bbox="316 174 1289 568"> The agency has published on its agency website, if it has one, or has otherwise made publicly available, all Final Audit Reports. The review period is for prior audits completed during the past three years PRECEDING THIS AUDIT. 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, there has never been a Final Audit Report issued.) </td><td data-bbox="1289 174 1490 568">yes</td></tr></table>	The agency has published on its agency website, if it has one, or has otherwise made publicly available, all Final Audit Reports. The review period is for prior audits completed during the past three years PRECEDING THIS AUDIT. 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, there has never been a Final Audit Report issued.)	yes
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