EXECUTIVE SUMMARY

First Compliance Monitoring Report — Baseline Assessment

Assurance of Discontinuance: Clinton County Sheriff's Office and New York State Office of the Attorney General

Review Period: March 3, 2026 – August 31, 2026 Report Submitted: November 11, 2026

PURPOSE

This executive summary accompanies the Independent Monitor's First Compliance Monitoring Report under the Assurance of Discontinuance ("AOD") between the New York State Office of the Attorney General ("OAG") and the Clinton County Sheriff's Office ("CCSO"), effective July 28, 2025. The AOD resolves concerns about CCSO's compliance with the Prison Rape Elimination Act ("PREA"), 28 C.F.R. Part 115, New York State requirements on workplace sexual harassment prevention and non-discrimination, and violations of the United States Constitution and Title VII of the Civil Rights Act of 1964 at the Clinton County Jail ("CCJ"). The AOD provides for a four-year monitorship.

This is the baseline report. It rates each AOD provision (¶¶ 15–23(e)) and each applicable PREA standard as of August 31, 2026. It sets the starting point for measuring progress and does not predict future ratings. At baseline, a non-compliance rating reflects the early stage of implementation. It is not a punitive finding. CCSO was not required to begin implementing most changes until the OAG approved the Strategic Plan, and CCJ completed several requirements ahead of that approval on October 21, 2026.

HOW THE MONITOR ASSESSED COMPLIANCE

The Monitoring Team (Independent Monitor Leandro Diaz and Monitor Team Member Dr. Kimberly Collica-Cox) applied the DOJ PREA Auditor Handbook's triangulation method. Under that method, a standard is compliant only when documents, interviews, and direct observation all agree. Evidence included:

- Five document requests (AOD #01–#05). CCSO responded to each within the Monitor-set timeframe.
- CCJ's PREA Pre-Audit Questionnaire, treated as self-reported and corroborated where possible.
- Two site visits (May 28–29 and August 18–19, 2026). The team interviewed 21 staff at all levels and 12 incarcerated individuals, including targeted populations.
- An anonymous staff climate survey administered by the County Department of Personnel (43 respondents).
- Review of the CCSO Draft Strategic Plan, which received final approval from the Office of the Attorney General on October 21, 2026.

Documents the Monitor drafted or supplied as technical assistance are not counted as evidence of compliance. Ratings rest on CCSO's own adoption, training, implementation, and documentation. The Monitor had no restrictions on access to staff, incarcerated individuals, or facility records.

BASELINE RATINGS AT A GLANCE

AOD Provisions (¶¶ 15–23(e))	Count	What it means
Substantial Compliance	6	Requirement met without significant deviation
Partial Compliance	6	Some components met; significant work remains
Non-Compliance	16	Most or all components not yet met
Not Yet Assessable	6	Deadline or trigger has not occurred
Not Rated	12	Monitor or OAG duty, or administrative provision
Total	**46**	

PREA Standards (28 C.F.R. Part 115, Subpart B)	Count	What it means
Meets the Standard	1	§ 115.14 Youthful Inmates (CCJ does not house youthful inmates)
Does Not Meet the Standard	41	Corrective action required
Exceeds the Standard	0	—
Not Applicable	1	§ 115.12 Contracting with Other Entities
Total	**43**	

AOD provisions tied to PREA standards (¶¶ 18, 19, and 23) will stay rated non-compliant until every related standard is rated "Meets the Standard." PREA compliance also requires evidence that the practice has been sustained and institutionalized, generally for one year.

PROGRESS ACHIEVED DURING THE BASELINE PERIOD

CCSO and CCJ took the following steps before the Strategic Plan was approved:

- **Staff policy review and acknowledgments.** All staff reviewed the Sexual Misconduct Elimination and County Anti-Harassment policies and signed written acknowledgments (¶ 16(a)–(b)).
- **Monitor access and anti-retaliation.** Policy G-72 (Monitor Access) was adopted and read at all shift briefings. Monitor notices were posted in English and Spanish on inmate tablets and the CCSO website.
- **PREA Coordinator.** Sgt. Shawn Martineau was designated, and Policy G-71 was adopted. The organizational chart now shows a direct reporting line to the Sheriff and Jail Administrator. Appendix A benchmarks were completed and submitted to the OAG on September 16, 2026.
- **Specialized training.** All CCJ medical staff and all CCSO detectives completed National Institute of Corrections ("NIC") PREA training. Detectives registered for the Division of Criminal Justice Services' sexual assault investigations course, and the lead training instructor completed the NIC responder course.
- **Victim services and reporting.** Hotline access was established to Planned Parenthood of the North Country and the Rape, Abuse, and Incest National Network ("RAINN"). A memorandum of understanding ("MOU") with Planned Parenthood is pending, and Champlain Valley Physicians Hospital (CVPH) agreed to formalize forensic exams by MOU. State Commission of Correction's designation as the third-party reporting agency is pending.
- **Privacy.** CCJ relocated shower hooks in the women's unit. Cross-gender viewing of body-scanner images is now restricted. Cross-gender announcements began, with notices posted at housing unit entrances. Cell window coverings are in progress.
- **Workplace harassment.** The County revised and adopted its sexual harassment policy (distribution pending) and posted harassment notices in staff areas. The climate survey was completed.
- **Accountability and equipment.** Staff were directed to wear name tags, and the County ordered replacement tags. Staff submitted camera and door-alarm enhancements for the 2027 budget.

KEY FINDINGS

Overall, CCJ is clean and well maintained. Incarcerated individuals consistently reported feeling safe and treated with respect, and staff were professional and cooperative. The primary gaps identified were the absence of formal written systems and documentation. The findings below drive most of the baseline ratings.

- **Staffing.** Recruitment and retention are the most pressing issues. CCJ officer salaries are about half those of state counterparts. The Correction Officer exam drew 5 applicants in 2025 (no women) and 6 in 2026 (one woman). The shortage hits the 11 female officers hardest, who are often held for double

shifts to cover female-specific posts. It also leaves the PREA Coordinator without enough dedicated time, which is why ¶ 18(a)(ii) is rated Partial Compliance.

- **Screening and intake.** Intake screening does not yet assess risk of sexual victimization or abusiveness, and CCJ does not conduct required PREA reassessments. Sexual orientation and gender identity are not asked about consistently. The jail management and medical systems cannot search for vulnerable populations, but medical is scheduled to move to a new system in 2027.
- **Training and education.** Line staff have not yet received formal PREA training, though their knowledge improved between visits. PREA training was scheduled for October 2026. Contractors, volunteers, and county civilian staff receive no PREA training or CCJ-specific orientation. Inmate PREA content on tablets is general rather than facility-specific, and most individuals reported not reading it.
- **Investigations.** Criminal investigations by CCSO detectives were timely. However, PREA cases are not administratively closed as substantiated, unsubstantiated, or unfounded. The preponderance-of-the-evidence standard is not in written policy, and there is no documentation of notice to complainants or of retaliation monitoring.
- **Physical plant and cameras.** Numerous blind spots are identified on some units and in inmate-accessible storage areas throughout the facility. The facility plans to upgrade and install new cameras in housing units and has an interim plan to prevent access to storage areas without officer supervision. Currently, all CCJ Video is kept for 30 days, but the AOD requires footage of alleged sexual abuse to be preserved for at least three years or until the matter is fully investigated. Additional coverage for the women's cell windows awaits an SCOC change order.
- **Data and risk management.** No Risk Management System (¶ 23), sexual abuse incident review process, or quarterly data review is in place. For that reason, all ¶ 23 provisions are rated non-compliant.
- **Monitor access.** Policy G-72 Monitor Access is in place, but several documents or information requests were not fulfilled on time or in full. ¶ 17(a) is therefore rated Partial Compliance.
- **Workplace climate.** The survey provided a remarkably clear and candid baseline of staff sentiment, demonstrating high overall engagement. A strong majority of staff (76.7%) know how to report harassment, establishing a solid foundation for institutional accountability. While the findings highlight notable areas of organizational strain, including mixed confidence in reporting follow-through and expected friction during the reform process, in-person interviews revealed significantly more positive staff perspectives.
- **Complaints during the review period.** Four PREA complaints were reported. Two inmate-on-inmate cases were declined for prosecution, one involved community-based abuse, and one staff-on-inmate investigation is ongoing. No staff sexual harassment or discrimination complaints were reported. The Monitor received seven non-PREA complaints from incarcerated individuals and referred them to the facility.

STRATEGIC PLAN

AOD ¶ 15 requires CCSO to adopt a strategic plan to prevent sexual abuse and sexual harassment of incarcerated individuals and to prevent the sexual harassment of CCSO employees. CCSO and the Independent Monitor developed the Strategic Plan together, along with Appendix A, which sets the PREA implementation benchmarks required by ¶ 18(a)(iii). The OAG approved the Strategic Plan and Appendix A on October 21, 2026.

The plan turns the AOD's requirements into specific tasks. Each task has a responsible party, a target date, and the evidence CCSO must produce to show completion. The tasks are carried out in four phases over 36 months. Each phase builds on the one before it, moving from adopting policy, to training staff and putting those policies into daily practice, to showing that the practices are sustained. The phases culminate in a PREA audit under 28 C.F.R. § 115.401. That audit will provide an independent, DOJ-certified determination of whether CCJ meets the PREA standards.

The Strategic Plan now serves as the roadmap for the monitorship. CCSO is responsible for carrying it out. CCSO will develop its own policies for the Monitor's review, and the Monitor will provide guidance and technical assistance as needed. Each semiannual report will measure CCSO's progress against the plan's benchmarks. The OAG must review any deviation from the plan and approve any extension.

PRIORITY NEXT STEPS TOWARDS COMPLIANCE

1. **Adopt a comprehensive PREA policy** and the supporting procedures, then train all staff, contractors, and volunteers on it and document the training.
2. **Implement PREA-compliant risk screening** at intake with reassessment within 30 days, and use the results in housing, bed, work, and program decisions.
3. **Formalize administrative investigations.** Close every PREA case with a documented finding, write the preponderance standard into policy, notify complainants of outcomes, and conduct and document 90-day retaliation monitoring.
4. **Finalize the coordinated response plan,** including the CVPH forensic-exam MOU, the Planned Parenthood advocacy MOU, and staff guidance on the 120-hour exam window.
5. **Close supervision gaps in the kitchen and housing pods** through cameras, door alarms, and the directive requiring a Correction Officer to be present when inmate workers enter storage areas. Adopt the ¶ 18(b)(i) video retention plan.
6. **Give the PREA Coordinator enough dedicated time,** for example, by designating a PREA compliance manager or hiring a civilian coordinator.
7. **Build the ¶ 23 Risk Management System,** or an alternative the OAG approves, along with incident reviews and a quarterly data review cycle.
8. **Strengthen staff reporting and trust.** Create an anonymous reporting channel, share complaint outcomes with staff, have the Sheriff affirm anti-retaliation protections, and hold regular staff meetings with the Jail Administrator.
9. **Pursue targeted recruitment,** including outreach to women, to reduce forced overtime and support female-specific post coverage.
10. **Respond to Monitor requests on time and in full,** as Policy G-72 requires.

NEXT STEPS

Six provisions are Not Yet Assessable and will be rated once their deadlines arrive. The initial PREA audit under ¶ 18(a)(iv) is due by October 2029. The Monitor will track CCSO's progress against the Appendix A benchmarks and continue to provide technical assistance on request. The next semiannual compliance report is expected in April 2027. Under the AOD, CCSO will post this executive summary on the Corrections section of its website.